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SECRETARY

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## Correspondence Memorandum

**Date:** March 2, 2023  
**To:** Executive Committee  
Employee Trust Funds Board  
**From:** Lisa Dally, Human Resources Director  
**Subject:** Steps/Timelines for the ETF Secretary's Evaluation Process and  
Supervisor/Manager Survey

### Background

In December 2008 the ETF Board (Board) approved a performance evaluation form to assist in evaluating the Secretary in June of each year. The Board also approved the use of a survey among ETF managers as a source of additional information the Committee can use in its evaluation of the Secretary's performance. The survey questions are aligned with the categories on the performance evaluation form and cover management of operations; member/employer services; external relations; leadership; and staff development. The Board utilizes both documents in its yearly evaluation of the ETF Secretary.

### Response Rates

To maintain confidentiality of our supervisors/managers while also providing an incentive to be forthright in their evaluations of the Secretary, the survey responses from the managers have always been kept confidential. Unfortunately, this also reduces compliance with taking the survey because Human Resources is unable to determine who has completed the survey and who has not. This has been a concern of the Board in the past.

Using the methodology explained above, the response rate in 2022 was 73%. To address the Board's concerns but maintain confidentiality for the supervisors and managers in responding to the survey, Human Resources will again stress the importance of the survey and will highlight in the cover letter to supervisors/managers that the Board is asking for 100% participation.

I will be available at the Executive Committee and ETF Board meeting to answer any questions.

Attachments: A. 2023 Steps/Timeline  
B. Supervisor/Manager Survey  
C. Secretary's Annual Performance Review

Reviewed and approved by Pamela Henning, Assistant Deputy Secretary  
Electronically Signed 03/03/23

Board	Mtg Date	Item #
EXC	3.22.23	5
ETF	3.23.23	5A1

## Attachment A

### Proposed Steps/Timelines ETF Secretary Evaluation Process and Supervisor/Manager Survey March 23, 2023

Month	Steps	Responsibility
March	Review supervisor/manager survey and Secretary evaluation documents.	Board
April	<p>Finalize survey with input from Board and distribute electronic survey to supervisors/managers by 4/5.</p> <p>Compile supervisor/manager survey results and prepare summary for HR Director; review by 4/25.</p>	<p>HR Director</p> <p>Survey staff/HR Director</p>
May	<p>Distribute draft supervisor/manager survey report to Executive Committee for review/comments by 5/5.</p> <p>Incorporate Executive Committee comments and finalize the supervisor/manager survey report by 5/8.</p> <p>Distribute final supervisor/manager survey report, Secretary Self-Evaluation and Secretary performance evaluation template <u>to Board by 5/12</u>.</p> <p>Return completed Secretary performance evaluation forms to HR Director by 5/26.</p>	<p>HR Director/Executive Committee</p> <p>HR Director/Executive Committee</p> <p>HR Director</p> <p>Board</p>
June	<p>Compile and summarize the Board's evaluation results and send results to the Executive Committee by 6/9 for review and comments.</p> <p>Distribute performance evaluation results to ETF Board prior to the June Board meeting by e-mail/Box.</p> <p>Board conducts a performance evaluation review of the Secretary at the 6/22 meeting.</p>	<p>HR Director</p> <p>HR Director</p> <p>Board</p>

## 2022/2023 Supervisor/Manager Survey of ETF Secretary

### ETF Secretary's Agency Oversight and Administration

#### 1. Management of Operations

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Oversees budget, staff, and operating resources in a responsible manner.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Ensures compliance with federal/state laws, rules, contracts and policies.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Submits reasonable budget requests that address important priorities/needs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Makes thoughtful/appropriate decisions after gaining input and analyzing the facts.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Ensures operational consistency/stability through a qualified managerial team and consistently values their skills, knowledge, and contributions.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. Establishes proper controls and security measures to meet ETF's mission/objectives.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8. Encourages the prudent use of technology.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9. Oversees and monitors ETF's business continuity/disaster recovery plans.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment (\*If marking "Neutral", please indicate a reason why.)

## 2. Member/Employer Services

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Uses various methods/tools to inform members about potential/actual benefit changes (legislation, regulations, policies, etc.).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Ensures members receive accurate and professional responses to questions and information requests.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Seeks partnerships with employers and a wide range of government organizations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Demonstrates/encourages open communication with Wisconsin Retirement System state/local employers.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Solicits feedback from members/stakeholders on communication and service preferences.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment (\*If marking "Neutral", please indicate a reason why.)

## 3. External Relations

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Maintains effective communication with external entities/stakeholders (Legislature, Governor's Office, State of Wisconsin Investment Board, government officials and the public).	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Maintains awareness of state/national influences and activities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Works to enhance the agency's reputation and image.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Desires and seeks input from state/federal benefit associations and interest groups.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Understands and pursues a legislative program that protects members' legal benefit rights and benefit program stability.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. Ensures legislative and regulatory activities are monitored and analyzed.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. Maintains effective media relations and serves as spokesperson, when appropriate.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8. Conveys the need for ongoing professional relationships with outside parties.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment (\*If marking "Neutral", please indicate a reason why.)

#### 4. Staff Development

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Attracts, retains, and motivates quality employees.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Creates an atmosphere that fosters teamwork, creativity, and participation.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Works to minimize turnover by maintaining staff satisfaction.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
4. Encourages staff training/other programs to develop skill sets and provide for career advancement, within budget parameters.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Demonstrates a collaborative managerial style involving others in decision-making.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
6. Identifies and understands issues and takes appropriate steps to resolve them.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
7. Keep employees informed of key events or activities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
8. Addresses succession planning for key positions.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
9. Encourages workplace diversity and assures managerial compliance with human resources laws and policies.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comment (\*If marking "Neutral", please indicate a reason why.)

## 5. Leadership

	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Instills a sense of confidence and is viewed as a skilled and trusted leader.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
2. Uses strategic planning team approaches to set goals and prepare for the future.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3. Leads organization with a vision and provides clear direction to staff.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4. Recognizes excellence in various ways and offers a supportive work environment.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
5. Maintains awareness of employee benefit program trends and responds to change.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

- |   | Strongly Agree        | Agree                 | Neutral*              | Disagree              | Strongly Disagree     |
|---|-----------------------|-----------------------|-----------------------|-----------------------|-----------------------|
| 6. Delegates authority/responsibility in an appropriate manner. | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 7. Invites and welcomes innovative ideas.                       | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |
| 8. Acts in an open and ethical manner.                          | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> | <input type="radio"/> |

Comment (\*If marking "Neutral", please indicate a reason why.)

Done





## Secretary's Annual Performance Review 2022-2023

For the Review Period of June 1, 2022 through June 1, 2023

*The Secretary serves as the Department of Employee Trust Funds' (ETF) chief executive officer and is responsible for the detailed administration of the agency and oversight of the benefit programs. The Secretary shall perform all duties prescribed by state statute or delegated by the ETF Board. The Secretary's performance review is conducted annually at the June ETF Board meeting.*

### Directions:

Each Board member should rate the Secretary's annual performance by clicking the button next to the appropriate rating for each performance criteria. Individual evaluations will be collected by the ETF Human Resources Director and compiled into a final performance evaluation summary for review by the Executive Committee. Each Board member may provide remarks in the "Comments" box below each section. **Please complete the evaluation by no later than May 26, 2023.**

This review will rate the following performance criteria:

- Board Relations
- Management of Operations
- Member/Employer Services
- External Relations
- Leadership
- Staff Development



**\* 1. Please select your name.**

Arnold, Stephen

David, John

Flogel, Jen

Ford, William

Heller, Chris

Koessl, Wayne

Lounsbury, Katy

Miller, Angela

Mizialko, Amy

Paul, Leilani

Rasmus, Roberta

Schalow, David

Wilding, Steven



## Secretary's Annual Performance Review 2022-2023

### Board Relations

- maintains environment that promotes positive and professional working relationships with Board members
- keeps Board members well informed of relevant issues, trends, system operations, external and internal challenges
- responds to Board members' questions, concerns and requests for information in a clear and timely manner
- provides assistance to Board committee chairs in the development of Board agendas
- assists and supports Board in execution of fiduciary duties
- works effectively with the Board in exercising its oversight responsibilities

**\* 2. In regard to Board Relations, please rate the Secretary based on the information provided above (you may provide remarks in the "Comments" box below).**

- Exceeds Expectations:** Consistently strives to maintain a good working relationship with Board and to provide Board members with tools necessary for them to carry out their responsibilities.
- Accomplished:** Communicates in a satisfactory manner. Keeps Board members adequately informed of issues and activities.
- Developing:** Communication with Board is improving. Inconsistent in providing Board with all details.
- Needs Improvement:** Communication is lacking. Board members not sufficiently informed of issues and activities.

Comments



## Secretary's Annual Performance Review 2022-2023

### Management of Operations

- provides for effective day-to-day operations of the Department
- manages operations in accordance with all relevant federal and state laws, administrative rules, union contracts, and internal policies
- develops reasonable budgets and manages the Department in a cost effective manner
- identifies and satisfactorily resolves problems
- ensures consistency and stability of operations through a capable and knowledgeable management team
- utilizes benchmark studies, surveys and best practices to improve processes and efficiencies
- makes audit compliance a priority
- exercises prudent use of technology
- oversees the security for all official documents and plans for business continuity

**\* 3. In regard to the Management of Operations, please rate the Secretary based on the information provided above (you may provide remarks in the "Comments" box below).**

- Exceeds Expectations:** Demonstrates the ability to manage daily operations efficiently and consistently. Utilizes sound management practices and technology to further the Department's mission. Ensures full audit compliance.
- Accomplished:** Manages organization sufficiently to carry out basic mission of the Department. Delegates appropriately. Attempts full audit compliance.
- Developing:** Shows potential to effectively manage resources but requires frequent guidance in some aspects of managing daily operations.
- Needs Improvement:** Manages operations and resources inconsistently. Does not fully utilize management team. Requires more focus on audit compliance.

Comments



## Secretary's Annual Performance Review 2022-2023

### Member/Employer Services

- ensures members are educated about benefits and informed of any benefit changes
- responds to member concerns in a timely and professional manner
- seeks to enhance partnership with employers
- seeks to improve communication with members and employers
- surveys members and employers about communication and service preferences

**\* 4. Regarding Member/Employer Services, please rate the Secretary based on the information provided above (you may provide remarks in the "Comments" box below).**

- Exceeds Expectations:** Consistently works in the best interest of membership. Responds to members and employers in a prompt and professional manner. Fosters good communication between groups.
- Accomplished:** Provides members and employers with adequate information. Responds to concerns within an acceptable timeframe and in a professional manner. Allows for open communication between groups.
- Developing:** Information sharing with members is improving. Shows potential for improved interactions with members and employers but needs guidance.
- Needs Improvement:** Fails to keep members and employers informed. Does not respond to concerns in a timely and/or professional manner.

Comments





## Secretary's Annual Performance Review 2022-2023

### External Relations

- maintains communication with external entities and stakeholders (legislature, Governor's Office, other government officials, State of Wisconsin Investment Board, and the general public)
- maintains awareness of state and national influences that may affect the Department, its benefit programs and the agency's reputation/image
- solicits input from associations and interest groups, both state and federal
- pursues a legislative agenda that protects members' legal benefit rights and the stability of the benefit programs
- monitors and analyzes legislative and regulatory activities
- maintains appropriate media relations and serves as chief spokesperson when appropriate
- ensures managers and employees understand the importance of ongoing communication with all entities and stakeholders



**\* 5. Regarding External Relations, please rate the Secretary based on the information provided above (you may provide remarks in the "Comments" box below).**

- Exceeds Expectations:** Excels at communicating with external parties. Maintains awareness of outside influences. Takes steps necessary to preserve the integrity of the Department and benefit programs.
- Accomplished:** Communicates with external parties in a satisfactory manner. Able to effectively develop legislative strategies and respond to legislative initiatives.
- Developing:** Inconsistent with communication to external entities. Not always familiar with impact of outside influences. Improving with legislative effectiveness or other areas of external relations.
- Needs Improvement:** Communication with external parties is lacking. Does not take initiative in pursuing legislative agenda.

Comments



## Secretary's Annual Performance Review 2022-2023

### Leadership

- inspires confidence and credibility with the Board, managers, staff and outside stakeholders
- utilizes a team approach to strategic planning to set goals and to prepare for future initiatives
- provides clear direction to staff and leads organization with a vision
- provides for effective and efficient day to day management of Department
- rewards excellence and offers a supportive work environment
- maintains awareness of industry trends and responds to change
- participates in professional organizations for personal and professional development
- invites innovative ideas and programs
- maintains the integrity of the Department by acting in an open and ethical manner

**\* 6. Regarding Leadership, please rate the Secretary based on the information provided above (you may provide remarks in the "Comments" box below).**

- Exceeds Expectations:** Demonstrates the highest degree of leadership by effectively planning for the future, keeping current in the benefits field and providing a stable and effective work environment.
- Accomplished:** Leads the organization in a satisfactory manner. Keeps staff informed of activities and projects a positive image of the Department.
- Developing:** Gradually improving on communication with staff but needs to work on portraying confidence in preparation of future for organization.
- Needs Improvement:** Fails to adequately plan for future activities. Does not provide adequate guidance to employees.

Comments



## Secretary's Annual Performance Review 2022-2023

### Staff Development

- recruits and retains quality staff
- creates an atmosphere that fosters teamwork, creativity and participation
- works to ensure low turnover by maintaining staff satisfaction
- encourages staff training and other opportunities for advancement, growth and skill building
- encourages staff teamwork and uses collaborative management style, soliciting staff feedback and involvement in decision making
- identifies internal problems and takes appropriate steps to resolve them
- keeps employees informed of events, activities and the overall direction of the Department
- addresses succession planning for key positions within the Department
- encourages diversity within the workforce and consistently follows human resource policies and procedures

**\* 7. In regards to Staff Development, please rate the Secretary based on the information provided above (you may provide remarks in the "Comments" box below).**

- Exceeds Expectations:** Recognizes importance of trained staff and maintaining employee satisfaction. Ensures staff confidence by responding to concerns and seeking input from all levels.
- Accomplished:** Encourages input from employees. Provides training opportunities when possible.
- Developing:** Inconsistent in acquiring feedback from employees and providing development opportunities.
- Needs Improvement:** Lack of action results in poor morale and productivity. Does not provide incentive for staff development.

Comments



Secretary's Annual Performance Review 2022-2023

Comments

**8. Achievements**

**9. Areas Needing Improvements**

**10. Goals for the Coming Year**

Empty rectangular box for writing goals.



**Secretary's Annual Performance Review 2022-2023**

**Thank You**

Thank you for taking the time to complete the Secretary's evaluation, your responses and comments are appreciated.