

STATE OF WISCONSIN Department of Employee Trust Funds

Robert J. Conlin

801 W Badger Road PO Box 7931 Madison WI 53707-7931

1-877-533-5020 (toll free) Fax (608) 267-4549 http://etf.wi.gov

CORRESPONDENCE MEMORANDUM

DATE: March 5, 2014

TO: Executive Committee

Employee Trust Funds (ETF) Board

FROM: Stacie Meyer, Human Resources Director

Division of Management Services

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 of these documents in its yearly evaluation of the ETF Secretary.

Evaluation changes

In 2013, due to changes underway with the agency's Transformation, Integration and Modernization (TIM) initiatives and the desire to include feedback from agency supervisors, the "managers' survey" of the Secretary's performance was also sent to ETF's 22 supervisors. In addition, the survey was revised using the on-line survey tool, SurveyMonkey. A link to the actual survey and instructions was provided in May 2013 to the Board for response.

At the June 20, 2013 meeting, the Board did not suggest any further changes to the performance evaluation form or survey for the June 2014 evaluation, so unless directed otherwise, the same process and tool will be used.

Board	Mtg Date	Item #
EXC	3.26.14	5B
ETF	3.27.14	4A1

Steps/Timeline for Secretary's Evaluation March 5, 2014 Page 2

Response Rates

In order to maintain confidentiality of our supervisors/managers while also providing an incentive to be completely honest in their evaluations of the Secretary, the survey responses from the managers has been confidential in the past. Unfortunately, this does result in less than 100% response rate since Human Resources is unaware of who has completed the survey. This has been a concern of the Board in the past. Using the methodology explained above, the response rate in 2013 was 97.8%. 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. 2014 Steps/Timeline

B. Supervisor/Manager Survey

C. Secretary's Annual Performance Review

Proposed Steps/Timelines ETF Secretary Evaluation Process and Supervisor/Manager Survey March 5, 2014

Month	Steps	Responsibility
March	Review supervisor/manager survey.	Board
	Finalize survey with input from Board and distribute electronic survey to supervisors/managers by 4/1.	HR Director
April	Compile supervisor/manager survey results and prepare summary for HR Director; review by 4/21.	Survey staff/HR Director
	Distribute draft supervisor/manager survey report to Executive Committee for review/comments by 5/1.	HR Director/Executive Committee
May	Incorporate Executive Committee comments and finalize the supervisor/manager survey report by 5/12.	HR Director/Executive Committee
	Distribute final supervisor/manager survey report and Secretary performance evaluation template to Board by 5/16. Include Secretary's annual accomplishments and his response to overall performance expectations for the fiscal year.	HR Director
	Return completed Secretary performance evaluation forms to HR Director by 6/3.	Board
June	Compile and summarize the Board's evaluation results and send results to the Executive Committee by 6/9 for review and comments.	HR Director
	Executive Committee meets or conducts a conference call to discuss results of the Board evaluations by 6/16	HR Director/Executive Committee
	Distribute performance evaluation results to Executive Committee and Board prior to the June Board meeting by mail or e-mail.	HR Director
	Board conducts a performance evaluation review of the Secretary at the June 26 meeting.	Board

Supervisor/Manager Survey of ETF Secretary

1. ETF Secretary's Agency Oversight and Administration

Strongly Strongly Strongly	Strongly Agree Agree Neutral* Disagree Disagree	1. Management of Operations					
manner. 2. Ensures compliance with federal/state laws, rules, contracts and policies. 3. Submits reasonable budget requests that address important priorities/needs. 4. Makes thoughtful/appropriate decisions after gaining input and analyzing the facts. 5. Ensures operational consistency/stability through a qualified managerial team and consistently values their skills, knowledge, and contributions. 6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.	manner. 2. Ensures compliance with federal/state laws, rules, contracts and policies. 3. Submits reasonable budget requests that address important priorities/needs. 4. Makes thoughtful/appropriate decisions after gaining input and analyzing the facts. 5. Ensures operational consistency/stability through a qualified managerial team and consistently values their skills, knowledge, and contributions. 6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.			Agree	Neutral*	Disagree	Strongly Disagree
policies. 3. Submits reasonable budget requests that address important priorities/needs. 4. Makes thoughtful/appropriate decisions after gaining input and analyzing the facts. 5. Ensures operational consistency/stability through a qualified managerial team and consistently values their skills, knowledge, and contributions. 6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.	policies. 3. Submits reasonable budget requests that address important priorities/needs. 4. Makes thoughtful/appropriate decisions after gaining input and analyzing the facts. 5. Ensures operational consistency/stability through a qualified managerial team and consistently values their skills, knowledge, and contributions. 6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.		•	•	0	•	0
priorities/needs. 4. Makes thoughtful/appropriate decisions after gaining input and analyzing the facts. 5. Ensures operational consistency/stability through a qualified managerial team and consistently values their skills, knowledge, and contributions. 6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.	priorities/needs. 4. Makes thoughtful/appropriate decisions after gaining input and analyzing the facts. 5. Ensures operational consistency/stability through a qualified managerial team and consistently values their skills, knowledge, and contributions. 6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.		0	•	0	0	0
analyzing the facts. 5. Ensures operational consistency/stability through a qualified managerial team and consistently values their skills, knowledge, and contributions. 6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.	analyzing the facts. 5. Ensures operational consistency/stability through a qualified		•	•	•	•	•
managerial team and consistently values their skills, knowledge, and contributions. 6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.	managerial team and consistently values their skills, knowledge, and contributions. 6. Uses benchmark studies, surveys, and best practices to improve programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.		0	0	0	0	0
programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's of of of of mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.	programs, processes, and service. 7. Establishes proper controls and security measures to meet ETF's of the mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.	managerial team and consistently values their skills, knowledge, and	•	•	•	•	•
mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.	mission/objectives. 8. Encourages the prudent use of technology. 9. Oversees and monitors ETF's business continuity/disaster recovery plans.		0	•	0	0	0
9. Oversees and monitors ETF's business continuity/disaster recovery O O O O plans.	9. Oversees and monitors ETF's business continuity/disaster recovery OOOOOOOOOOOOOOOOOOOOOOOOOOOOOOOOOOOO		•	•	0	•	0
plans.	plans.	8. Encourages the prudent use of technology.	0	0	0	0	0
Comment (*If marking "Neutral", please indicate a reason why.)	Comment (*If marking "Neutral", please indicate a reason why.)		, •	•	•	•	•
▼ The state of th		Comment (*If marking "Neutral", please indicate a reason why.)					

. Member/Employer Services	01				01
	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagree
1. Uses various methods/tools to inform members about potential/actual benefit changes (legislation, regulations, policies, etc.).	O	•	•	•	•
2. Ensures members receive accurate and professional responses to questions and information requests.	0	0	O	0	0
3. Seeks partnerships with employers and a wide range of government organizations.	0	0	•	•	0
Demonstrates/encourages open communication with Wisconsin Retirement System state/local employers.	0	•	0	•	•
5. Solicits feedback from members/stakeholders on communication and service preferences.	0	•	•	•	•

Supervisor/Manager Survey or ETF Secretary					
3. External Relations	Strongly Agree	Agree	Neutral*	L)isagree	Strongly Disagree
Maintains effective communication with external entities/stakeholders (Legislature, Governor's Office, State of Wisconsin Investment Board, government officials and the public).	0	0	•	0	0
2. Maintains awareness of state/national influences and activities.	0	0	0	0	0
3. Works to enhance the agency's reputation and image.	0	0	0	0	0
4. Desires and seeks input from state/federal benefit associations and interest groups.	•	0	•	•	•
5. Understands and pursues a legislative program that protects members' legal benefit rights and benefit program stability.	•	0	•	•	•
6. Ensures legislative and regulatory activities are monitored and analyzed.	0	0	0	0	0
7. Maintains effective media relations and serves as spokesperson, when appropriate.	•	•	•	0	0
8. Conveys the need for ongoing professional relationships with outside parties.	0	•	0	0	0

J. Staff Development					
	Strongly Agree	Agree	Neutral*	Disagree	Strongly Disagre
1. Attracts, retains, and motivates quality employees.	•	0	<u>•</u>	0	0
2. Creates an atmosphere that fosters teamwork, creativity, and participation.	0	0	0	0	0
3. Works to minimize turnover by maintaining staff satisfaction.	•	0	0	0	0
4. Encourages staff training/other programs to develop skill sets and provide for career advancement, within budget parameters.	0	0	0	0	0
5. Demonstrates a collaborative managerial style involving others in decision-making.	•	•	•	•	•
6. Identifies and understands issues and takes appropriate steps to resolve them.	•	0	0	0	0
7. Keep employees informed of key events or activities.	•	0	•	0	•
8. Addresses succession planning for key positions.	0	0	0	0	0
Encourages workplace diversity and assures managerial compliance with human resources laws and policies.	•	•	0	•	•
Y					

. Instills a sense of confidence and is viewed as a skilled and trusted eader. . Uses strategic planning team approaches to set goals and prepare	Strongly Agree	Agree	Neutral*	Disagree	
eader.	d 0			J. 30	Disagree
Ligas stratogic planning team approaches to set goals and propers	u o	•	0	0	0
or the future.	• •	0	0	•	•
. Leads organization with a vision and provides clear direction to sta	ff. O	0	0	0	0
. Recognizes excellence in various ways and offers a supportive wornvironment.	rk [©]	0	0	0	0
. Maintains awareness of employee benefit program trends and esponds to change.	•	0	0	0	0
. Delegates authority/responsibility in an appropriate manner.	0	0	0	0	0
. Invites and welcomes innovative ideas.	•	0	©	0	0
Acts in an open and ethical manner.	0	0	•	0	0

1. For the Review Period of May 31, 2013 through June 1, 2014

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.

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 from the following drop down.**

Board Member Name	<u> </u>

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

provided abov	e (you may provid	de remarks in the "Co	mments" box bel	ow).
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.	© Exceeds Expectations	Communicates in a satisfactory manner. Keeps Board members adequately informed of issues and activities.	Oeveloping	Needs Improvement: Communication is lacking. Board members not sufficiently informed of issues and activities.
Comments				

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

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.	© Exceeds Expectations	Manages organization sufficiently to carry out basic mission of the Department. Delegates appropriately. Attempts full audit compliance.	 Developing 	Meeds Improvement: Manages operations and resources inconsistently. Does not fully utilize management team. Requires more focus on audit compliance.
Comments				<u>→</u>

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

Consistently works in the best interest of membership. Responds to members and employers in a prompt and professional manner. Fosters good communication between groups.	© Exceeds Expectations	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.	Oeveloping	Meeds Improvement: Fails to keep members and employers informed. Does not respond to concerns in a timely and/or professional manner.
Comments				

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

Excels at communicating with external parties. Maintains awareness of outside influences. Takes steps necessary to preserve the integrity of the Department and benefit programs. Comments	© Exceeds Expectations	Communicates with external parties in a satisfactory manner. Able to effectively develop legislative strategies and respond to legislative initiatives.	O Developing	Improvement: Communication with external parties is lacking. Does not take initiative in pursuing legislative agenda.

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

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.	© Exceeds Expectations	C Accomplished: Leads the organization in a satisfactory manner. Keeps staff informed of activities and projects a positive image of the Department.	• Developing	Fails to adequately plan for future activities. Does not provide adequate guidance to employees.
Comments				

7. 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).

C Superior: Recognizes importance of trained staff and maintaining employee satisfaction. Ensures staff confidence by responding to concerns and seeking input from all levels.	© Exceeds Expectations	C Accomplished: Encourages input from employees. Provides training opportunities when possible.	O Developin	Improvement: Lack of action results in poor morale and productivity. Does not provide incentive for staff development.
Comments				
				V

Secretary's Annual Performance Review					
8. Comments					
8. Achievements					
	_				
9. Areas Needing Improvements	₹				
	Y				
10. Goals for the Coming Year	_				
	7				

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