

Education Reform Toolkits:
Resources to achieve results

Administrative Career Path and Performance Evaluation Guide

developed by charter operators
with support from



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I. What is this guide and who is it for?

This guide will help charter management organizations (CMOs) and school districts – and their human resources staff and line managers in particular – that are looking to develop a systematic approach to evaluating and promoting employees. The guide describes a two-step process that begins with writing out detailed descriptions for each role and what it takes to excel in it, and ends with the design of a performance evaluation “cycle” (setting goals jointly, evaluating progress against those goals, then making decisions and recommendations based on that progress).

Organizations that are fair, consistent and transparent in the way they train, support, evaluate and promote their employees benefit from higher morale and thus greater productivity and improved recruiting success. Thus the information contained within this guide should help districts and CMOs to achieve their primary goal: driving student achievement.

Drawing on effective practices and lessons learned from CMOs and other organizations,¹ this guide has been largely populated based on a project undertaken at Green Dot Public Schools, Los Angeles, in the winter of 2008. The guide applies specifically to two employee groups: home office employees, and school administrators. The guide does *not* apply to teachers or school-based classified staff (e.g., office managers, janitors), though some of the concepts may be adaptable for those purposes.

For further information or referrals to CMO managers interviewed for this work, please email: tools@broadfoundation.org.

¹ CMOs interviewed for this guide include: Achievement First, Aspire Public Schools, KIPP, Mastery Charter Schools, PUC Schools, and Uncommon Schools. Also included were knowledge and materials obtained from The Broad Foundation.

Key definitions

Please note that this guide makes use of several human resource industry terms that we have defined as follows:

Performance management (PM) means the process of creating a work environment or setting in which people are enabled to perform to the best of their abilities.² Performance management encompasses:

- Organizational and team/department goal setting (both qualitative and quantitative)
- Individual goal setting (both qualitative and quantitative)
- Annual employee evaluations
- Incentive compensation (including bonus plans)
- The tracking of quantitative performance measures at the organizational and individual levels (e.g. dashboards and scorecards)
- An organization's career path for promotion (e.g. role descriptions for each position and indicators for how one progresses forward)

Career path means the set of professional “stepping stones” defined and available to employees in a given role. For example, a person who joined a CMO as a principal may ultimately be on a path toward being eligible to oversee multiple schools, assuming they meet certain goals and attain particular skills. Alternatively, that same principal may be able to transition into the CMO's central office as a curriculum developer, depending on their background, skills, and recent performance. In order for the career path options available to employees to be transparent, each role in the organization must have the necessary skills and responsibilities clearly laid out.

Performance evaluation means the process by which employees in an organization are rated for their work over the course of the year. Ratings should incorporate a number of inputs including: progress toward jointly agreed-upon goals, work ethic, 360-degree feedback from colleagues, and other considerations.

² Heathfield, Susan M. “Performance management.” Online posting, About.com. 2009. http://humanresources.about.com/od/glossary/g/perform_mgmt.htm.

II. Requirements for implementation

Implementing a robust career path and performance evaluation process requires *time*, *leadership attention*, and *money*.

- **Time** – Redesign of the performance evaluation cycle requires a commitment of staff time, typically ranging from three to six months to design and roll-out new tools and processes, depending on the size of the organization.
- **Senior management guidance** – Because career paths and performance evaluation are core functions of a high-performing organization, a redesign requires the involvement of the organization’s most senior operating executives, including – at a minimum – significant guidance from the CEO, COO, and head of human resources.
- **A representative team** – Typically, an organization undertaking a project of this kind will form a team of four to seven managers and include – if appropriate – frontline employees, representing a cross-section of the organization. These team members should exhibit strong interpersonal skills, be comfortable setting and working toward measurable quantitative goals and have a reputation within the organization for working with integrity. They should become ambassadors for the program and role models for adopting it to other employees.
- **Project leadership** – Senior management will need to identify one to two people to lead the team and drive the process forward. Depending on the organization’s capacity, project leadership can come from inside (e.g. the COO or the head of HR), or be in the form of a temporary external consultant, so as to reduce the burden on executives whose pre-existing responsibilities may prevent them from being effective redesign managers. Project management in a small CMO is likely to require one full-time employee (FTE) for three to four months; in a school district or other large organization, one FTE for 7-8 months will be required.
- **Financial resources** – There is no concrete price tag associated with redesigning career paths and performance evaluation systems. The cost depends on the organization’s existing capacity and systems, and can range from relatively little to a significant investment. Potential sources of higher costs include: (1) one or more consultants to lead the project, (2) new systems to track operational data and (3) software to computerize 360-degree feedback and/or the entire performance evaluation process.

III. Steps to establish career paths and redesign performance evaluations

Frequent and effective performance evaluations in combination with a well-defined career path are properly considered to be a core function of high-performing organizations. In such organizations, executives and managers regularly define, redefine, and communicate performance expectations for employees and goals across the organization. There are four discrete steps to setting up effective career paths and performance evaluations:

- A. Kick off the project
- B. Establish robust career paths
- C. Redesign the performance evaluation cycle
- D. Roll out new processes

A. Kick off the project

To launch career path and performance evaluation reform:

- | | |
|--|------------|
| 1. Assess your organization's basic need | 0-3 months |
| 2. Form a team | 2-4 weeks |
| 3. Conduct a diagnostic | 2-4 weeks |
| 4. Create a workplan | 1 week |
| 5. Communicate the goals of the project | 1-2 weeks |

1. Assess your organization's basic need (0-3 months)

In the early stages of growth, organizations often opt not to establish formal career paths (having different salary levels and titles for employees at different stages of their careers) and performance evaluation protocols. In fact, many resist these structures because they feel too "bureaucratic" or "corporate" or because they may risk alienating current employees. For example, a CMO with just a couple of schools and fewer than 20 home-office employees might not have very much to gain by articulating career paths, and may be fine with ad-hoc performance evaluations. In this case, all of the employees will know everyone else in the organization, with most having already made sacrifices to join the organization because they are committed to the mission.

As an organization matures, it typically develops the need for robust career paths and standardized performance evaluation protocols because: (1) staff size has grown quite rapidly, meaning that executives have less direct exposure to the performance of frontline staff, (2) growth in staff leads to more role differentiation, (3) new employees are likely to be less closely aligned with the organization's mission than founding staff, (4) the organization requires more highly trained employees who cannot be evaluated based on general criteria.

The following warning signs may indicate that your organization needs more formalized career paths and standardized performance evaluation approach:

- Employees complain about salary or title inconsistencies.
- Managers or staff complain that the employee evaluation process is just an administrative burden.
- Turnover is high or rising in key employee groups.
- Morale is low, or employees display cynicism about the organization's mission and values.
- Certain employees are generally considered to be underperforming, but others just "work around" them, and there is no structure in place to address their underperformance or move them out of the organization, if necessary.
- The organization routinely falls short of performance goals.

In general, formal career paths and performance evaluation processes probably make sense for CMOs that operate (or will operate) eight or more schools or that have a home-office of 25 or more employees.

2. Form the team (2-4 weeks)

Once the organization has decided to establish career paths and redesign performance evaluations, the next step is to form and empower a project team to move forward. The team must have buy-in and, more importantly, active senior executive involvement, including the CEO and/or the COO. In effect, this means that the CEO or COO should either be (a) the main "client" for the project, or (b) a member of the project team. A typical team might consist of three to seven managers, depending on the size of the organization, and – if appropriate – frontline employees, representing a cross-section of the organization.

Team members should exhibit strong interpersonal skills, be comfortable setting and working toward measurable quantitative goals and have a reputation within the organization for working with integrity. In particular, staff with consulting firm experience or those who have worked in mature, high-performing organizations will be particularly valuable in the process. All team members must be willing to commit some 5 to 10 hours of work a week for the duration of the project, at least 3 months.

In addition, senior management will need to identify one person to lead the team and drive the process forward. Depending on the organization's capacity, this project leadership could come from inside (e.g., the COO or the head of HR), or the organization could hire a consultant on a temporary basis in order to reduce the burden on executives lacking capacity due to pre-existing responsibilities. A consultant can commit to the project full-time without disrupting other organizational workflows. Project management might require 80 to 100 percent of one FTE over the project duration.

3. Conduct a diagnostic (2-4 weeks)

Before creating a project workplan, the team will need to collect all the background information needed to redesign its performance management processes. For example, the team should identify all existing policies and processes that are relevant to performance evaluation, evaluate their effectiveness, identify gaps and opportunities for improvement, and, finally, agree on priorities and a work plan for the project as a whole.

In general, this diagnostic phase includes three key components:

- (1) Interviewing key managers in affected departments (or regions) about the baseline effectiveness of the organization's existing career paths, the current employee evaluation processes, incentive pay plans, and data metrics currently in use.
- (2) Collecting all relevant data reports to determine what organizational performance tracking systems are in place.
- (3) Interviewing CMOs or high-performing organizations from other sectors in order to identify best practices in performance management.

[Appendix A](#) contains several sample interview guides that can be modified and used in the diagnostic phase.

The results of the diagnostic can be used to determine which processes require the most attention and what the right sequencing will be. For example, if the organization already has effective career paths in place, then the team can move directly to defining clear performance expectations. If a 360-degree feedback process has already been implemented, then changes to the evaluation process itself may be relatively minor. The key is to identify those parts of the process that are not currently working smoothly, or are not aligned with the overall performance management strategy that the organization desires to put in place.

4. Create a workplan (1 week)

Figure 1 (on the following page) outlines a typical 5-month workplan for establishing basic career paths and redesigning a performance evaluation process. This workplan can be adapted to your organization's needs, based on your diagnostic phase findings, especially if certain pieces of the strategy are already in place.

In this basic approach, an organization proceeds with the following sequence:

- (1) Establish clear career paths with basic job levels.
- (2) Design an evaluation process and job expectations that are aligned with the career path levels.
- (3) Link the evaluation process to quantitative metrics and goals developed by departments.
- (4) Link the outputs of the evaluation process to a bonus plan that rewards those employees who are rated highly in the employee evaluation process.

Activity	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
Assessment of need and team formation																								
Determine whether your organization would benefit from PM (timeframe ongoing)	--> x	x																						
Form the team/ hire consultant		x	x	x																				
Diagnostic phase (launch of actual project)																								
Agree on project goals					x																			
Communicate project launch to affected employee groups					x																			
Draft interview guides					x	x																		
Interview key managers in targeted departments					x	x	x	x																
Interview managers at high-performing CMOs to identify best practices					x	x	x																	
Collect reports and data relevant to organization/ employee performance					x	x	x																	
Create and revise workplan to reflect needs identified in diagnostic phase							x	x																
Establish career path																								
Draft job levels including description of experience/skill requirements								x	x															
Draft document that categorizes current employees into career path levels								x	x															
Identify salary and title anomalies								x	x															
Continue to revise level descriptions and categorization								x	x	x	x	x												
Redesign performance evaluation process																								
Identify career path levels that require a distinct evaluation tool with competency descriptions								x																
Agree on major categories of competencies for each level of employee								x	x															
Draft high-level timeline for performance evaluation process								x	x															
Draft performance expectations/ rubrics for each career path level								x	x	x														
Present preliminary findings to key executives and managers for feedback									x															
Continue to share and revise performance expectations/rubrics									x	x	x	x	x											
Draft software specifications for software tool to automate evaluation process (if automating)												x												
Solicit bids from potential vendors for online automation of performance evaluation process													x											
Schedule demos with potential vendors													x	x										
Evaluate and compare bids													x	x	x									
Select vendor and execute contract																				x	x	x		
Roll out new processes and conduct training																								
Assign long-term owner for all new processes													x	x	x									
Draft training materials														x	x									
Schedule training sessions															x	x								
Train all executives and managers																			x	x	x			
Train all front line employees																					x	x	x	

Figure 1. Sample action plan for overhaul of career path and performance evaluation processes at a mid-sized CMO.

5. Communicate the goals of the project (1-2 weeks)

At project launch, it is valuable to provide all impacted employees with a brief overview of the project's goals and process. These early communications should seek to earn staff trust in order to maximize the chances for successful implementation.

Executives can build this trust by doing all of the following:

- Acknowledging that processes have not always worked effectively in the past.
- Introducing the idea of career paths in the context of creating long-term career opportunities for young employees, as well as treating all employees fairly and appropriately.
- Making it clear that the goals of the evaluation process will be to: (1) give employees clear performance expectations aligned with the organization's mission and values, and (2) identify professional development opportunities.
- Identifying key team members who are well-respected throughout the organization and who can be both ambassadors for the program and role-models for adopting it.
- Identifying employees who are likely to be skeptics or late adopters and engaging them early in the process to help uncover any unforeseen challenges.
- Welcoming input from any and all employees in the diagnostic and design phases.

Usually, these goals can be accomplished via a short PowerPoint presentation during a staff meeting or professional development workshop. See [Appendix B](#) for an example from Green Dot Public Schools.

B. Establish robust career paths (1-2 months)

Well-designed career paths can and will enhance employee morale over the long-term, if implemented thoughtfully. In particular, for organizations evolving from being small start-ups, career paths can:

- Provide employees with a clear understanding of how they can build a long-term career at the organization, including the criteria that will be used to evaluate their readiness for a promotion.
- Articulate a fast-growing organization's preference for promoting employees from within.
- Force executives and managers to have difficult, yet beneficial conversations about the qualifications and responsibilities associated with any given position.
- Establish consistent policies regarding salaries and titles, in order to minimize anomalies that can create resentment across the organization.
- Ensure that all employees are compensated fairly and appropriately.

Designing straightforward career paths is often the best place to start when redesigning performance evaluation systems because clear role definitions and requirements for advancement are necessary precursors to fair and consistent decision-making during the performance evaluation process. That is, without having clearly defined the core responsibilities for a given role, it will be difficult to make informed decisions about effectiveness of employees in that role as well as readiness of others to enter that role.

Note that similar “levels” in an organization may be found all over the organizational chart. For example, an “associate” (e.g., an administrative assistant) may report directly to the CEO, while another associate – evaluated at the same “level” – may be far lower on the organizational hierarchy because they report to a lower-level manager several tiers down. The key is that no employee should report to someone at a lower level than themselves.

1. The path for school administrators

In high schools, the career path for school administrators is straightforward: One starts as an assistant principal with potential promotions to principal, and then cluster leader or regional vice-president, overseeing multiple schools.

Some CMOs or districts may see value in further differentiating the educational career path. For example, at Green Dot Public Schools, an operator of charter high schools in Los Angeles, the management team decided to establish three different sub-levels for the positions of principal and assistant principal. This allowed Green Dot the flexibility of adjusting individual principal or assistant principal compensation based on past performance or seniority.

Table 1. Career Path levels for *principals* at Green Dot Public Schools.

Level	Description
Mentor principal	<ul style="list-style-type: none"> • Generally 3+ years of experience as a Green Dot principal • School shows top-tier performance and improvements in student outcomes (API, graduation rates, etc.) • Assumes full accountability for student achievement and for school operations • Shows mastery of all elements of principal evaluation • Effectively serves as mentor/coach for other principals in the cluster • Leads selected professional development modules • Potential to be considered for near-term promotion to senior management role in HO or Cluster Director • Base salary range of \$100-105K
Senior Principal	<ul style="list-style-type: none"> • Generally at least 2 years of experience as GD principal • School consistently shows solid performance and improvement in student outcomes • Takes full responsibility for student achievement and operations • Shows proficiency of all elements of principal evaluation, as well as mastery of selected areas • Beginning to take on some mentoring and coaching responsibilities in the cluster • Beginning to take on some GD-wide responsibility for selected professional development • Potential to be considered for home office/cluster director promotion in the next 2-3 years • Base salary range of \$95-100K
Principal	<ul style="list-style-type: none"> • Entry-level school administrator position; generally 0-2 years experience as GD principal • Still striving to achieve mastery/proficiency of key elements of principal evaluation • Focused on school performance and own professional development in the near term, rather than cluster or GD-wide contributions • No proven track record of improving student outcomes (yet) • Base salary range of \$90-95K

Table 2. Career Path levels for *assistant principals* at Green Dot Public Schools.

Level	Description
Senior Associate Principal	<ul style="list-style-type: none"> • Generally 3+ years of experience as AP • Functions as full partner with principal in management of school operations and curriculum/instruction • Highly effective relationships with all key stakeholders, especially the teaching staff • Beginning to take on mentoring/coaching role within the cluster • Potential to be considered for principal positions • Base salary of \$85-90K
Associate Principal	<ul style="list-style-type: none"> • Generally at least 2 years of experience as AP • High level of independence, little need for active supervision from principal • Effectively manages his or her job responsibilities within the school • Potential for consideration as school principal in the next 1-2 years • Base salary of \$80-85K
Assistant Principal	<ul style="list-style-type: none"> • Entry-level administrator position, generally 0-3 years experience • Still requires significant supervision/ guidance from principal • At least 2 years away from being considered for principal positions • Base salary of \$75-80K

2. The path for home office employees

Designing career paths for home office employees requires some flexibility, since job responsibilities and requirements vary significantly from department to department. However, there is still value in trying to provide a standard set of job levels and associated requirements, even if there will be some variation in how those jobs are implemented.

At Green Dot, the executive team opted to create three main career levels at the home office: associate, manager, and executive. The team felt that these three levels captured, at a high level, the differentiation among job responsibilities and seniority in the organization. Within each level, there are three sub-levels, as outlined in Tables 3, 4 and 5 on the following pages.

	Associates	Managers	Executives
Management	<ul style="list-style-type: none"> • Early career and clerical positions involving little or no managerial or budgetary responsibilities 	<ul style="list-style-type: none"> • Positions with significant responsibility, either analytical or managerial, and managerial and budget authority of limited scope • Includes managers of small departments and specialists with significant responsibilities 	<ul style="list-style-type: none"> • Executive level positions involving management of multiple departments/schools and company-wide strategy setting • Chairman and CEO evaluated directly by Board of Directors
Salary/ Comp	<ul style="list-style-type: none"> • Salary range dependent on education requirements, technical skills, market rates, tenure with GD, and past performance 	<ul style="list-style-type: none"> • Salary range dependent on education requirements, budgetary/managerial scope and discretion, technical skills, market rates, tenure with GD, and past performance 	<ul style="list-style-type: none"> • Salary range of dependent on education requirements, budgetary/managerial scope and discretion, technical skills, market rates, tenure with GD, and past performance
FTE count	<ul style="list-style-type: none"> • Total of ~25 in home office 	<ul style="list-style-type: none"> • Total of ~25 in home office 	<ul style="list-style-type: none"> • Total of 13 in home office

Table 3. Career Path levels for *executives* at Green Dot Public Schools.

Level	Description
Chair and CEO	<ul style="list-style-type: none"> • Most senior management positions in the organization entailing supervision of other C-level executives • Accountability for overall performance of the organization, including strategy setting and implementation, risk management, and external relations • Reports directly to the Board of Directors
"Chief"	<ul style="list-style-type: none"> • Senior management position including responsibility for core function(s) of the company, management of a large team or multiple departments, and considerable managerial discretion • Includes long-term strategic planning function for own department(s) as well as company as a whole • Collective responsibility for performance of organization as a whole • Generally 5-10 years of managerial experience, significant functional expertise, and superior people management skills
"VPs/CDs"	<ul style="list-style-type: none"> • Senior management position requiring supervision of several departments or schools, significant overall budget, and key company functions • Generally 5-10 years of experience as manager • Considerable responsibility for departmental strategy setting and accountability for key results, plus contributions to overall company strategic planning

Table 4. Career Path levels for *managers* at Green Dot Public Schools.

Level	Description
Director	<ul style="list-style-type: none"> • Management position requiring BA plus considerable technical skills, functional expertise, and/or grad degree • Considerable amount of budgetary and/or managerial discretion (3-7 direct reports) • Responsibility/accountability for critical school or GD function(s) • Generally 3-5 years experience as manager
Senior Manager	<ul style="list-style-type: none"> • Management position requiring BA plus technical skills, functional expertise, or graduate degree • Moderate amount of budgetary and/or managerial discretion (1-3 direct reports) • Responsibility/accountability for key school or GD function(s) • Generally 2-3 years experience as manager
Manager	<ul style="list-style-type: none"> • Basic entry-level management position requiring BA plus technical skills, functional expertise, or grad degree • Some limited budgetary and/or managerial discretion) • Responsibility/accountability for school or GD function(s) • Generally 0-2 years experience as manager

Table 5. Career Path levels for *associates* at Green Dot Public Schools.

Level	Description
Senior Associate	<ul style="list-style-type: none"> • Entry-level position requiring B.A., plus moderate amount of special skills and/or professionalism • Moderate amount of self-directed work, little or no managerial authority, some minimal judgment required • Generally 0-7 years of functional experience
Associate	<ul style="list-style-type: none"> • Entry-level position requiring bachelor's degree, special skills, and/or basic professionalism • Minimal amount of self-directed work or professional judgment • Generally 0-4 years of functional experience
Assistant	<ul style="list-style-type: none"> • Basic entry-level position requiring little or no special skills or training • Duties primarily dictated by manager, very little judgment required to complete duties • Generally 0-2 years of functional experience

Note that Green Dot groups its “Cluster Directors” with other Level III executives at the home office. However, cluster directors – who oversee multiple schools – have a different set of job responsibilities than a typical home office executive who oversees a service-oriented department. This distinction becomes particularly important when the organization drafts performance expectations as described in the following section. In effect, performance expectations for cluster directors can be built by combining the expectations for principals with the expectations for home office executives.

Note also that a principal can be promoted directly to a home office position. When this happens, the employee is transitioned onto the home office career path, and their job description changes from school management to school service and oversight.

3. Defining performance expectations for each role

One of the most important – and time-consuming – parts of implementing a new performance evaluation process is to define the behaviors expected of employees in different departments and at different levels of the organization. At each step along the career path, employees should receive a clear definition of what is expected from someone in that position.

The development of role expectations requires several iterations and the buy-in of key stakeholders, but the process itself can be valuable, since it forces executives to articulate exactly what types of behaviors are consistent with the organization’s mission and values for each employee in the organization.

The first step in defining performance expectations is to *determine what areas of performance are important to your organization*. While these will vary from organization to organization, Green Dot Public Schools uses the categories listed below:

Title: Categories of Performance

**Categories of performance –
Home office employees:**

- I. Service to schools and other stakeholders**
 - Commitment to Green Dot’s mission
 - Responsiveness
 - Competencies and expertise
 - Strategic planning (managers and executives only)

- II. Teamwork and organization building**
 - Building a department team
 - Building a home office team
 - Documenting and institutionalizing best practices
 - Performance management (managers and executives only)

- III. Striving for excellence and professional development**
 - Professional development
 - Communication skills
 - Time management

**Categories of performance –
School Administrators**

- I. Instructional leadership**
 - High standards of achievement
 - “College for Certain”
 - Instructional coaching and PD
 - Use of data
 - Interventions and Ed Services

- II. Community leadership**
 - Mission, vision and expectations
 - Customer service
 - Positive school culture
 - Personal development

- IV. People management**
 - Students
 - Staff empowerment
 - Staff accountability
 - Communications

- V. School operations**
 - Financial management
 - School environment
 - Planning
 - Problem solving

- VI. External relations**
 - Parents
 - Community partners
 - Home office
 - Student recruitment

Having decided upon these categories, the next step is to articulate what it looks like when an employee “meets expectations” for each role in each of these categories. For example, what does the organization expect of a home office “associate” when it comes to “commitment to the organization’s work?” The example below demonstrates the definitions used by Green Dot.

Home Office Associates – Performance Expectations

Service to Schools and Other Stakeholders (Associates)

	Meets Expectations
Commitment to Green Dot’s work	<ul style="list-style-type: none"> • Shows a strong commitment, through both words and actions, to Green Dot’s mission to transform public education. Understands Green Dot’s five core values and Six Tenets of schools. • Understands the critical link between his/her work in the home office and the effective operation of schools. Sees all home-office work through the prism of what is right for Green Dot’s students, families, and schools. • Has sufficient knowledge of Green Dot’s organization and the education business to inform his/her work.
Responsiveness	<ul style="list-style-type: none"> • Demonstrates patience, persistence, and a sense of urgency in working with customers, even in stressful situations. • Follows through with customer issues until resolution. Recognizes and escalates customer problems beyond his/her capacity to the appropriate supervisor. • Listens to customers to derive insights and expeditiously solve the customer’s problem. Develops trusting relationships with school staff based on teamwork and mutual problem-solving.
Competencies and expertise	<ul style="list-style-type: none"> • Executes technical aspects of his/her work with zero defects. • Demonstrates proficiency with all tools necessary to do his/her job, including technical skills (e.g. software) and knowledge (e.g. governing laws). • Seeks out training in skills, tools, or knowledge that will enable him/her to perform the job more effectively and provide better service to schools.

Teamwork and Organization Building (Associates)

	Meets Expectations
Within the department	<ul style="list-style-type: none"> • Internalizes the goals of the department and sees how his/her work fits into the department’s mission. Provides thoughtful input to department’s planning. Demonstrates a desire to contribute to department’s success, even on projects outside his/her specific position. • Builds strong relationships with other department members. Puts the team first. Is flexible with time and provides appropriate help or input to raise teammates’ performance. Works to keep morale high in department.
Across the home office	<ul style="list-style-type: none"> • Builds strong working relationships with key colleagues in other home office departments. Looks for cross-departmental opportunities to simplify processes and improve service to schools. • Participates in office-wide initiatives to build a strong home office culture. • Sets a positive, proactive tone in interactions with others. Earns the trust and respect of employees of all seniority levels and across all home-office departments. • Consistently makes it a priority to assist and support other employees, both in the home office and at the schools.
Process improvement	<ul style="list-style-type: none"> • Makes a concerted effort to document and standardize effective work processes. • Takes a “big picture” view in order to ensure that processes improve from month-to-month and year-to-year, even in stressful situations. • Works effectively with other employees within the department, within the home office, and in schools in order to simplify and document effective work processes. • Keeps accurate records that are organized and accessible to others.

Striving for Excellence and Professional Development (Associates)

	Meets Expectations
Professional development	<ul style="list-style-type: none"> • Seeks out opportunities to take on more responsibility and to develop more skills. • Shows initiative in working with supervisor to define professional development goals and takes concrete steps to meet those goals. • Takes personal responsibility for mistakes and takes corrective action when appropriate. Seeks out coaching and feedback from supervisor and others.
Communication skills	<ul style="list-style-type: none"> • Demonstrates excellent listening skills with colleagues and others. Works diligently to understand others’ points-of-view. • Handles conflicts with calmness and goodwill. • Is clear and concise in written and verbal communications. Effectively communicates business insights with appropriate supporting data.
Time management	<ul style="list-style-type: none"> • Uses time effectively to provide and improve service to schools and accomplish the work of the home office. • Able to take a “big picture” view to invest time in projects that will improve efficiency in the long term. • Leverages supervisor’s time by providing focused updates and seeking focused feedback. • Shows a willingness to work hard and sets high standards for self, but also maintains a sustainable work-life balance.

It is important that the language in the expectations is “aspirational,” providing employees with a high bar of behavior to meet or exceed. As much as possible, the language should reflect positive attributes, rather than behaviors that the employee should avoid. As stated above, managers should share these performance expectations with new employees during the process of new hire orientation, as well as each time they are promoted to a higher level.

The process for drafting performance expectations requires the involvement of high-level executives, specifically the CEO and/or the CEO, plus other key employees as necessary. While a consultant or analyst may draft preliminary descriptions, it is critical that senior executives review and revise the language, since it is this process that allows the organization to come to an agreed-upon definition for employee behaviors that are consistent with the organization’s vision and mission. In addition, frontline employees must be involved as well in order to ensure that performance descriptions are clear and compelling for employees at all experience levels.

For detailed descriptions of performance expectations for school administration and home office positions, see the sample evaluation tools in [Appendices C-J](#).

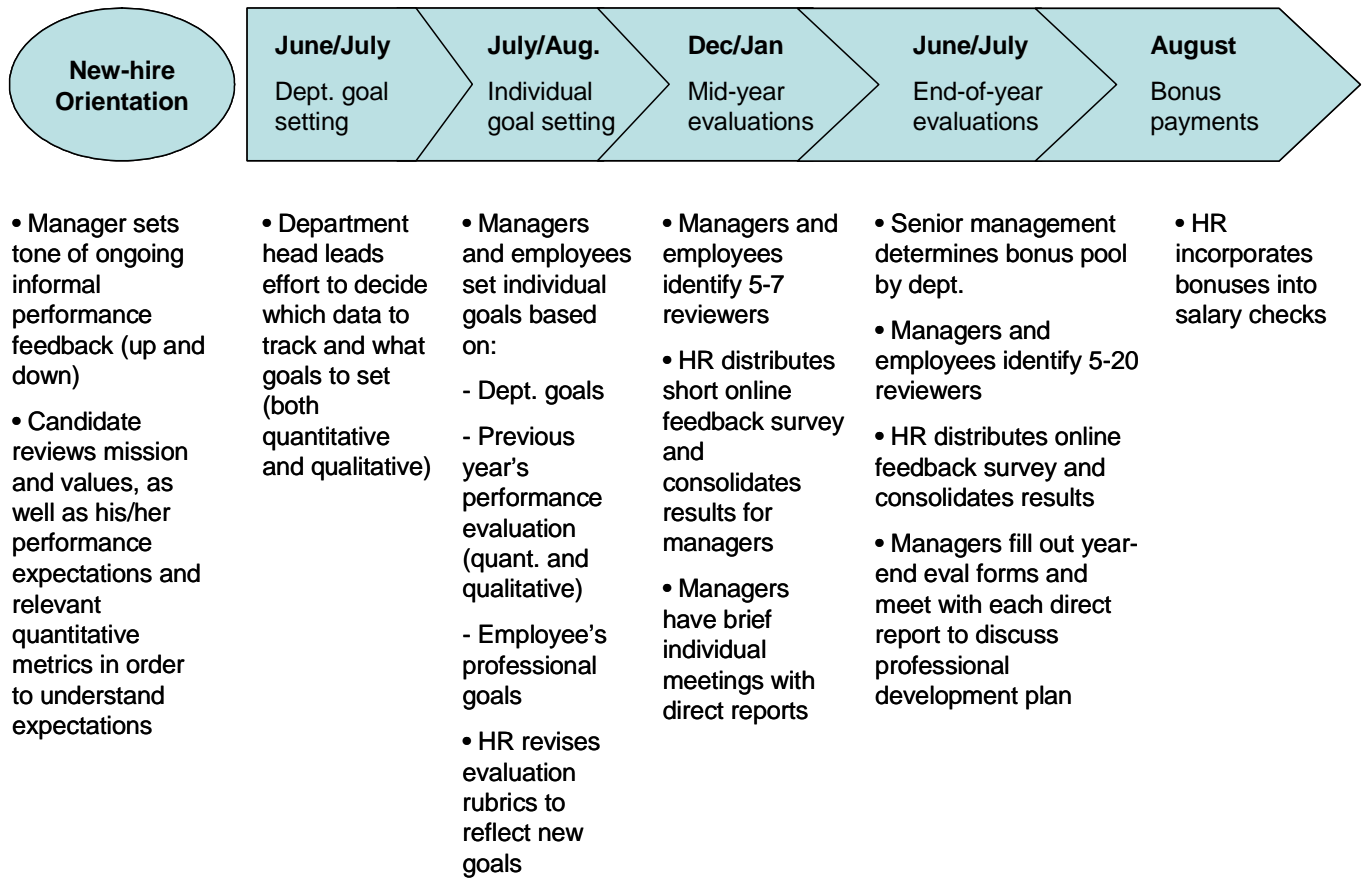
C. Redesign the performance evaluation cycle (2-3 months)

Once the organization has defined the road map for different job levels, the team can move on to redesign the evaluation cycle. In its completed form, the evaluation cycle will consist of a three-step repeated process:

1. Goal and expectation setting
2. Evaluating progress toward goals
3. Making decisions based on evaluations

The exact time when each of these steps should ideally occur over the course of the year will vary from organization to organization, but sequencing should aim to maximize the amount of time employees and managers have to make and evaluate progress against individual goals.

Below is an example of the process that was developed at Green Dot.



1. Goal and expectation setting

When an employee joins the organization, and then at the start of each year after that, manager and employee should sit down to discuss goals and expectations. The discussion will revolve around that employee's potential contributions toward the organization's mission and values and will set the foundation and tone upon which future performance feedback will be based. Subsequent, annual goal-setting discussions should both *establish ambitious individual goals* for the year that feed into organizational and department objectives and *create a cohesive professional development plan*.

Establishing ambitious individual goals

With annual *organizational* and *departmental* goals in hand (note that the process of organizational goal-setting is outside the scope of this guide but is integral to effective performance evaluations), a manager should work with their employees to co-develop measurable *individual* performance goals that will contribute to the department and organization's success. An effective practice to initiate this process is to first have the employee draft their own goals for the year, i.e. those they believe to be ambitious and aligned to the organizational and departmental goals and then iterate those goals together. Others have found that this approach increases employee "ownership" of goals and also ensures that the goals being set are ambitious without being impossibly aggressive.

[Appendix K](#) contains some templates for goal-setting used by The Broad Foundation.

Creating a cohesive professional development plan

The manager-employee conversation should also aim to identify the employee's professional development goals for the upcoming year. In order to do this, the manager must be aware of professional development opportunities in the coming year, including both training modules that may be available, and new work streams/processes in which the employee may be able to contribute (e.g. identifying "step up" opportunities to perform beyond normal capacity, temporarily shadowing colleagues/ partners, etc.). While the professional development plan should be geared toward helping an employee meeting their objectives for that year, organizations should consider allowing employees to pursue professional development opportunities that are not directly in line with their usual duties. It is our experience that such an approach helps with employee morale and helps to grow future leaders in an organization.

[Appendix K](#) contains some templates for developing a professional development plan that are used by The Broad Foundation.

2. Evaluating progress against goals

In order to ensure that the decisions ultimately made about the employee's performance are robust and evidence-based, the organization must start by designing an approach that will fairly gather all relevant inputs. At a minimum, the inputs should include: *quantitative measures of performance*, *360-degree feedback*, and *manager synthesis and assessment*.

Quantitative measures of performance

In many cases, quantitative data will reflect the employee's performance or their team's performance, such as: (1) time to resolve a maintenance work order (for maintenance workers),

(2) error rate in purchase orders (for finance & accounting staff), or (3) amount of fundraising collections (for development staff). Customer satisfaction ratings, as measured by stakeholder surveys, would also fall in this category. Ideally, the manager and employee will set such metrics at the beginning of the year along with any relevant targets.

Metrics may sometimes apply to more than one employee (e.g. principals' satisfaction with finance & accounting services), and thus the employee will have less individual control over performance against them, but collective metrics/targets should also be a part of the individual employee evaluation process in order to reinforce the idea that each individual employee has some responsibility for the overall performance of the department/unit.

360-degree feedback

Many organizations in the private sector have moved toward a model of 360-degree feedback, meaning that an employee receives feedback from peers, customers, direct reports, and any other colleagues or external stakeholders with whom they have significant interactions. Other employees and outside partners may be able to provide important anecdotes and observations that will inform a manager's personal observations about an employee. Typically, such feedback is aggregated so that any one person's responses are anonymous. In addition, the employee can be asked to provide the names of people who may be able to provide valuable feedback, which gives the employee a vested interest in the process. The manager, however, must approve the list in order to ensure that it reflects all important stakeholders, including those who might be inclined to offer constructive feedback. Importantly, 360-degree feedback typically offers the employee the chance to complete a self-assessment, which will drive them to personally reflect on their own performance prior to the meeting with their manager.

Manager synthesis and assessment

The manager has ultimate responsibility for the official evaluation of their employee's performance. In order to form a fact-based evaluation, the manager needs access to the quantitative assessments and 360-degree feedback results. In addition, the manager needs to reflect on his/her personal knowledge of the employee's performance and behavior. Armed with these three sources of information – personal experience, 360-degree feedback, and quantitative data – the manager can form a “big-picture” view of the employee's performance, evaluating the employee against each category of performance expectations, just as others do in the 360 process. However, unlike other feedback providers, the manager's feedback is presented separately and is therefore not anonymous.

See [Appendices C-J](#) for sample evaluation templates that incorporate all of these inputs, both backward-looking and forward-looking.

The rating scale

For both 360-degree and manager feedback, organizational leaders need to agree on an evaluation scale that evaluators can consistently apply. The most typical evaluation scale is a four-point scale, including the designations: (4) exceeds expectations, (3) meets expectations,

(2) below expectations, and (1) unacceptable or unsatisfactory. Other CMOs use scales with slightly different language (e.g. mastery, proficient, needs improvement, failing). In principle, there is little difference between the two. While some organizations have also employed a 5-point scale, the presence of a “middle” rating (a score of 3) allows reviewers an easy fall-back option that does not require them to take a position as to whether performance was above or below average.

Whichever scale is chosen, one key pitfall to avoid is the tendency to rate employees too highly. If the default rating is “exceeds expectations,” then it becomes difficult to recognize high-performing employees. On the other hand, it can be very damaging to an employee’s morale to receive a “below expectations” or “unsatisfactory” rating, even in just one category. These ratings should be saved for cases in which the behaviors are clearly outside of the performance expectations of the organization (e.g., bottom 10% of employees).

Often an organization can encourage consistency in the evaluation process by having “calibration meetings” in which managers share their overall employee ratings at different career levels. For example, cluster directors or regional superintendents would meet to share their relative ratings of school administrators. In such a meeting, it quickly becomes apparent if one supervisor is rating his/her direct reports too generously (or too harshly). Final evaluation ratings can be adjusted, so that standards are applied as consistently as possible across the organization.

In addition, human resource staff should track managers’ ratings over time to ensure that ratings generally reflect the organization’s agreed-upon statistical distribution. Small variations in any given year may not be any cause for concern, but consistently high or consistently low ratings may indicate that a manager needs coaching or guidance from an executive.

Green Dot adopted the following criteria for assigning evaluation ratings. Note that “exceeds expectations” is meant to apply to only 20 percent of employees in any given category of performance (and overall).

Title: Four point rating scale and definitions

Exceeds expectations (4)

- Top 20% of employees in any category
- Goes “above and beyond” the call-of-duty
- Demonstrates mastery of required skills and behaviors, requiring almost no oversight
- Shows creativity in work
- Someone who should be emulated

Meets expectations (3)

- Middle 70% of all employees
- Shows strong commitment/effort
- Demonstrates proficiency at required skills/ behaviors, requiring little day-to-day oversight
- Falls short of “exceeds expectations” in consistency or creativity
- Someone who has a long-term future at the organization, if they continue to develop

Below expectations (2)

- 5% of employees above Unacceptable
- Demonstrates effort, but effort is often misplaced or misdirected
- Required skills and behaviors are not developed
- Requires significant oversight on a daily basis
- Someone who will need to make significant developmental progress within the year, in order to stay at the organization

Unacceptable (1)

- Approximately bottom 5% of employees
- Basic lack of competence or significant attitude problem, causing daily management problems and “work-arounds”
- Someone who is clearly not going to continue with the organization, unless major changes are seen in the near term

3. Making decisions based on evaluations

After a manager collects and synthesizes all relevant inputs to form a picture of each employee's overall performance rating, the performance evaluation process will culminate with a meeting between employee and manager. This should be a robust, evidence-based conversation, focusing on (a) the employee's role within the organization, (b) past performance relative to expectations, including accomplishments and areas for improvement, (c) and objectives for future performance aligned with the goals of the department and the organization as a whole.

In addition, the two will need to discuss all decisions that have been made based on the employee's performance over the past year. These decisions include *promotion and dismissal decisions*, *incentive pay allocations*, and *suggestions for professional development opportunities* to be pursued in the coming year.

Promotion and dismissal decisions

Employees' performance – as reflected in their manager's overall rating – should also have a direct impact on the organization's promotion and dismissal decisions. Employees that consistently rate highly in the evaluation process should be considered for appropriate promotions. Those whose performance is rated as "unacceptable" should be given a brief window to improve, and – if little or no improvement is seen – should be either "counseled out" of the organization or dismissed outright. And those whose performance is "below expectations" may merit a slightly larger window of opportunity to improve, but – barring improvement – these employees should also be considered for removal. Recent research suggests that even one employee who underperforms or has a bad attitude can have a significantly negative impact on organizational performance and morale. For employees in the "exceeds expectations" or "meets expectations" categories, the manager can have explicit conversations about (1) potential opportunities for advancement, (2) a possible timeline for such promotions, and (3) what expectations the employee will have to meet to be considered for a new position.

Incentive pay allocations

The evaluation process should also be explicitly linked to any incentive compensation plans in place at your organization (the establishment of such an incentive plan is outside the scope of this guide but is recommended). Policies should be completely transparent and consistently applied, so that all employees know what to expect. Ideally, the process would be so transparent and feedback given so frequently that incentive pay decisions should come as no surprise to the employee.

It is generally considered effective practice to link incentive pay to the employee's overall evaluation rating (as completed by their manager), rather than developing a complicated mathematical formula based on multiple inputs.

Suggestions for professional development opportunities

Another key end-product of performance evaluations is refinement of the employee's professional development plan. The documentation of this can be simple – perhaps even only a list of bullet points – that addresses the specific "opportunities for development" that were

identified in the performance evaluation process. The following table shows what this might look like:

Opportunity	Professional Development Plan
Provide better support to schools by doing annual analysis of maintenance work orders	Sign up for training on work order system.
Keep better records	Shadow colleague in the XYZ Department, which recently implemented a very effective record keeping system.
Use time more effectively by delegating tasks to appropriate direct reports	In the next cycle of work, delegate specific tasks X and Y to employees 1 and 2 who have shown an aptitude for that type of work.
Provide more frequent and more effective coaching to members of your team	Arrange for communications consultant to videotape a coaching session and provide constructive feedback

4. Additional options: Automating the process

In the last few years, a number of companies have developed software applications that allow for the computerization of 360-degree feedback or even the entire performance evaluation process. Such software programs – either hosted locally or entirely online – can be an extremely economical way to ensure that review processes are easily updated and to minimize staff time associated with performance reviews.

Specifically, many of these tools have the ability to automate a vast range of tasks: requesting names of raters from the employee being reviewed (or their manager), generating automatic prompts with links to individualized surveys, requiring approval from managers or HR staff at certain points in the process, and providing high-quality reports to managers and employees. In addition, the systems can often be customized to meet the specific needs of your organization.

Potential vendors include:

EchoSpan (www.echospan.com)
 eXplorance (www.explorance.com)
 Success Factors (www.successfactors.com)

The process for selecting a vendor typically includes the following steps:

- Draft specifications based on organization’s process
- Request preliminary bids from several companies
- Evaluate live demos of products (available for most online tools)
- Refine specifications
- Request revised bids

- Select 2-3 finalists
- Contact relevant client references
- Make selection and negotiate contract

See [Appendix L](#) for a draft list of specifications which can be modified to reflect your organization's needs, as well as a sample spreadsheet comparing possible online vendors.

If the process is computerized, staff must understand exactly how it will work. Green Dot decided to computerize their whole system with an online 360-degree feedback vendor. The software allowed for a "staged" process in which the software would prompt employees or raters to complete specific steps in the process, moving to additional steps in the process only once all prior steps were completed. Specifically, Green Dot's process incorporates all of the steps listed in the table on the following page. Note that the automated process ensures that the manager has access to all key inputs before completing the official evaluation.

Table 6. Sample step-by-step employee evaluation process.

What	Who	By When
1. Load employee and manager info into system	HR	May 15
2. Email employee requesting names of reviewers	System	May 22
3. Submit names of reviewers	Employee	May 29
4. Email manager requesting (1) approval of names, and (2) submission of list of competencies/expertise required for position	System	May 29
5. Approve list of names with additions/changes and submit list of competencies/expertise	Manager	June 2
6. Send email prompts to reviewers (including reminders, if necessary)	System	June 3
7. Complete online reviews	Respondents	June 12
8. Send "interim report" to manager once all 360 reviews completed, including link to fill out official evaluation	System	June 12
9. Review 360 report and complete official evaluation online	Managers	June 19
10. Send final eval report to employee	System	June 19
11. Meet with employee to discuss evaluation	Managers	June 30
12. Confirm online that in-person meeting has happened (with comments)	Managers	June 30
13. Send prompt to employ requesting comments	System	June 30
14. Submit comments and sign (digitally)	Employee	July 10
15. Send comments to manager	System	July 10
16. Sign (digitally)	Manager	July 17
17. Send final report to HR, manager, and employee	System	July 17

D. Roll out the new processes (2-3 months)

Many growing CMOs have employees who are newly serving in certain roles, including managers who may never have managed before and front line employees working at their first or second job out of college or graduate school. In order to ensure effective employee evaluation systems, the organization must train all employees to understand the underlying principles, as well as how the systems will work logistically.

Given the anxiety that can accompany any discussion of employee evaluations or compensation, the primary goal of the training module must be to make employees understand how the system will benefit them and promote their professional growth. Specifically, if the organization is implementing a career path and performance evaluation and strategy, then the training should do all of the following:

- Demystify the performance evaluation process and minimize any anxiety that managers and employees feel.

- Ensure that managers understand that the main goals of the process are to provide their direct reports with clear performance expectations and identify opportunities for professional growth.
- Give staff an opportunity to think about the elements of an effective evaluation process, including what it means to give feedback in a 360-degree process.
- Provide them with a familiarity with the logistics and timeline of the new process.
- Introduce (or review) the home office Career Path and incentive pay plan.

Green Dot Public Schools employs a “cascading” training process, starting by training senior executives and then moving that training on down through the organization. Ideally, each training module should be interactive, encouraging employees to talk about what makes for an effective performance evaluation process, to experiment with the new tools, and perhaps to participate in role-playing activities.

See [Appendix M](#) for sample training agenda, facilitator’s guide, and activity guides.

IV. Common pitfalls

Operators implementing new performance evaluation systems may encounter several common pitfalls. An awareness of these pitfalls should help today's managers avoid mistakes others have made.

The seven most common and significant challenges are:

1. Neglecting to set up mechanisms to deal with poor performers and instead establishing mechanisms that only reward good behavior
2. Failing to establish a continuous "owner" for the performance evaluation process
3. Failing to persuade "users" to "buy-in" to the new system during implementation
4. Neglecting to give managers the "final say" in determining overall employee performance ratings and instead basing final ratings only on a strict average of numerical scores
5. Failing to create an effective CEO evaluation process
6. Lack of transparency and communication during the change process
7. Failing to align the performance evaluation system with other performance management components

- 1. Neglecting to set up mechanisms to deal with poor performers and instead establishing mechanisms that only reward good behavior.** It is generally easier to implement systems that reward and recognize high-performers. However, to become a high-performing organization, a CMO or district *must* develop formal processes – and the accompanying culture – to deal with employees who are incapable of doing their jobs effectively or unwilling. These employees must be identified early and be given honest feedback and appropriate opportunities to improve. For employees that do not improve, the organization must have effective systems to move them out of the organization, either by counseling them to leave or by dismissing them if necessary.
- 2. Failing to establish a continuous "owner" for the performance evaluation process.** This is a particular danger for organizations that rely on a project team and/or consultant to implement the redesign. While the human resources department typically "owns" employee evaluation processes, it is extremely important that senior operating executives – including the CEO and COO – are personally committed to linking all elements of PM into a unified whole and ensuring that employee evaluations are linked to the organization's career paths, quantitative goals, and ongoing professional development opportunities.
- 3. Failing to persuade "users" to "buy-in" to the new system during implementation.** If employees (senior executives and line personnel alike) do not buy-in to the new evaluation approach, then it is likely to have little impact on the day-to-day decisions and actions regarding time allocations, priorities, budgets, and people. By including trusted managers and line employees in the development of the new performance evaluation system and carefully communicating the results with staff throughout the rest of the organization, performance evaluation users at all levels will be more likely to buy into the new system.

- 4. Neglecting to give managers the “final say” in determining overall employee performance ratings and instead basing final ratings only on a strict average of numerical scores.** Many companies have attempted to standardize their employee evaluation process (and minimize the potential for managerial mistakes) by creating a mathematical formula that averages several different variables in order to arrive at a final employee evaluation score. This approach has two disadvantages: (a) when multiple measures are averaged, there is a “regression to the mean,” meaning that employees end up falling into a very narrow band of evaluation scores, which makes it nearly impossible for the company to differentiate between high performers and low performers based on the scores alone; and, (b) a mathematical formula prevents the manager from taking full responsibility for the evaluation of employees. Although it may seem counterintuitive because managers can be subjective, those interviewed for this guide indicated that having managers be the “final say” on employee evaluations was the most effective technique.
- 5. Failing to create an effective CEO evaluation process.** In order to conduct an effective evaluation of the CEO, an organization’s board must actively (a) set organizational performance goals, (b) define those goals in collaboration with the CEO, and (c) take the lead in the evaluation process. One or more board members must be willing to devote the time and energy necessary to make this work.
- 6. Lack of transparency and communication during the change process.** Too often the expectations for performance, details of how the review cycle will work, benchmarks for employee performance, and other components of the planned performance evaluation system are not clearly communicated to employees. This can result in poor uptake of the new system and disenfranchised employees.
- 7. Failing to align the performance evaluation system with other performance management components.** Though other aspects of performance management (e.g. robust data systems, data dashboards and scorecards, and incentive pay programs) are outside the scope of this guide, it is our experience that those who redesign their performance evaluation systems without consideration for the larger PM context tend to be less successful. For example, some organizations may have no mechanism in place to reward employees financially for excellent performance. If the organization has no intention of putting such a mechanism into place, then the performance evaluation system must be adjusted to account for this.

V. Conclusion

Well-defined career paths and frequent and effective performance evaluations are critical to the ongoing success of organizations as they mature. It is important that leaders act upon them appropriately. The changes laid out in this guide, when made at the right time and in the proper context of updating and establishing other performance management components (such as incentive pay programs, data organizational scorecards, and data systems), will help ensure ongoing alignment between an organization's mission and values and the people who work there.

In the end, your organization is nothing more and nothing less than the sum of all the people who work there. Creating systems to ensure a focused, happy, and productive workforce is of the utmost importance.

VI. Appendices

Appendix A: Interview guides for diagnostic phase (Green Dot)

Performance Management Project

Interview Guide Re Evaluation Processes – Home Office Managers

- 1. To whom do you report?**
 - a. How are expectations communicated to you?
 - b. What are you held accountable for?
 - c. Have you participated in an evaluation process? How did it work?
 - d. How would you like to be evaluated?
 - e. Do you get enough informal feedback?

- 2. How many employees are in your department?**
 - a. Managers
 - b. Individual contributors
 - c. Associates

- 3. What is the mission of your department? What are your high-level goals?**

- 4. How do you measure the success of the department? What data do you track? What data would you like to track?**

- 5. What tools do you use for performance evaluations of your staff? What are the strengths / weaknesses?**

- 6. What's the process?**
 - a. Who initiates it? When?
 - b. Self-evaluation? Peers? 360-degree?
 - c. Prep work ahead of time?

- 7. What would an effective performance evaluation process look like for your department?**

- 8. How does your staff feel about evaluations? Is there a desire for more feedback? Or do they feel threatened by the process? Do they know that a Task Force is redesigning the processes and tools?**

- 9. Anything else I should know?**

**Performance Management Project
Interview Guide Re Evaluation Processes – Education Team**

- 1. To whom do you report?**
 - a. How are expectations communicated to you?
 - b. What are you held accountable for?
 - c. Have you participated in an evaluation process? How did it work?
 - d. How would you like to be evaluated?
 - e. Do you get enough informal feedback?

- 2. How would you describe the organization’s culture with regard to performance and feedback?**

- 3. Who reports to you?**
 - a. Managers
 - b. Individual contributors
 - c. Associates

- 4. What is the mission of your cluster/school? What are your high-level goals?**
 - a. Academic
 - b. Operational
 - c. Other

- 5. How do you measure the success of your cluster/school? What data do you track? What data would you like to track?**
 - a. Academic
 - b. Operational
 - c. Other

- 6. What tools do you use for performance evaluations of your staff? What are the strengths / weaknesses?**

- 7. What’s the process?**
 - a. Who initiates it? When?
 - b. Self-evaluation? Peers? 360-degree?
 - c. Prep work ahead of time?

- 8. What would an effective performance evaluation process look like for Education Team leaders (APs, principals, cluster directors)?**

9. Attitudes of the Education Team

- a. How performance-minded are the administrators?
- b. How many principals/APs have lost their jobs due to performance issues?
How was this received by the others?
- c. Are they eager for more evaluation/feedback? Or are they leery of the process?
- d. How many of them are considering long-term careers at Green Dot?
- e. Where did they come from? (LAUSD? Business? Other charter schools?)
- f. What is the general attitude of the teaching staff toward performance evaluation and review?
- g. Are they aware of the Task Force? How has that been communicated?

10. What kinds of professional development are offered for administrators?

- a. Does everybody get everything? Or is some PD targeted toward the individual needs of administrators?
- b. Is there a mentoring/buddy program?

11. Anything else that I should know?

Interview Guide for Principals Performance Management

1. General questions

- a. What population do you serve?
- b. What are the biggest challenges facing your school?
- c. How do you compare the organization to other options available to your students?
- d. How do you compare the organization to other CMOs?

2. Home office

- a. How do you give feedback to the home office?
- b. Do you have a clear understanding of what each department does and is held accountable for?
- c. What are the best areas of home office support?
- d. What are your biggest concerns/problems regarding support from the home office?

3. Stakeholder survey

- a. Is it helpful?
- b. Too long?
- c. Do you put a lot of thought into it?

4. Evaluation process for principals

- a. Is it helpful?
- b. Do you know what is expected of you?
- c. Relative weight of student achievement results and qualitative feedback?

5. Compensation

- a. Is your compensation fair overall?
- b. How does the organization compare to other CMOs or the district?
- c. How does the bonus system work?
- d. Would you favor more or less incentive pay?
- e. What should bonuses be based on?

6. Is there anything else you'd like to share?

Interview Guide for CMO Executives Performance Management

- 1. What kinds of tools and processes do you use for employee evaluations?**
 - a. Principals, APs, teachers
 - b. Home office employees

- 2. What types of report cards or data dashboards do you use to track the performance of the organization?**
 - a. Student achievement
 - b. Operational metrics

- 3. What kind of surveys do you use?**
 - a. Parents
 - b. Students
 - c. Principals/teachers
 - d. Others?

- 4. Do you use any forms of incentive pay? What percent of salary? How are the bonuses calculated?**
 - a. Bonuses
 - b. Differentiated salaries

- 5. Would you be open to trading info about principal salaries and bonuses?**

- 6. Are you doing anything else in the area of performance management?**

- 7. Do you know of any other CMOs that are doing good work in this area?**

Appendix B: Sample PowerPoint for introducing project to employees (Green Dot)

Taskforce Overview

Taskforce Mission:

Develop a performance management process to provide feedback and development opportunities that are aligned with Green Dot's core values

Taskforce Members

1. Daun Baker
2. Cristina de Jesus
3. Peter Kilmarx
4. Quang Tran
5. Hoa Truong

2

Progress to Date

- Developing a long term evaluation process that will include
 - Quarterly goals review and feedback
 - Semi-annual 360° feedback
 - Alignment with core values
 - Goal setting
- Tim DeRoche, a part-time project consultant will be developing a process to be presented to committee
- New process will begin with year-end evaluations in June

Mid-Year Evaluations

- Use the same process as currently in place
 - Self assessment
 - Upwards feedback
 - Performance evaluation
- Key dates
 - 1/9/09
 - Stakeholder feedback survey is distributed to school administrators
 - Home office managers are trained on the process and expectations
 - 1/16/09
 - Home office staff will be trained on the process during lunch
 - 1/23/09
 - School administrators will complete upward feedback surveys
 -

4

Mid-Year Evaluations (Cont'd)

- Key dates (cont'd)
 - 1/30/09
 - Home office employees will complete upwards feedback of managers
 - Stakeholder feedback results will be distributed 2/6/09
 - Home office employees will complete self assessment incorporating upwards feedback and stakeholder feedback
 - 2/20/09
 - Managers will write evaluations for their direct reports
 - 2/27/09
 - Managers will conduct one-on-one meetings with each direct report to review the evaluation
 - All evaluations will be signed and dated by the employee and manager and returned to HR

5

Appendix C: Evaluation tool for chairman of the board (Green Dot)

Note: only applies to full time Chairman

**Annual Performance Evaluation –
Chairman of the Board (full-time)**

Name: _____ **Date** _____
Department: _____ **Position:** _____ **Career Path Level: E1**
Signature of Chairman: _____
Signature of independent Board member: _____

Key Performance Metrics & Goals

Metric	Performance	Target	Change	Target
Average API				
College enrollment				
CST proficiency rates				
CAHSEE passing rates				
Teacher quality (how measure?)				
Teacher turnover				
Financial deficit per student (operating)				
% time principals spend on instructional leadership				
Wait list as percent of enrollment				
Enrollment growth				

Note: On an annual basis, the Executive Committee of the Board will assist the CEO and Chair in an effort to identify the organization’s Key Performance Metrics for that year.

Summary

Overall strengths: _____ **Overall opp.’s for development:** _____
 • _____
 • _____

Professional development plan for upcoming year:

- _____
- _____

Overall Evaluation Level: _____

Key to performance levels:
 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Organizational Performance and Governance

	Meets Expectations	Eval scores	Comments
Organizational outcomes (See metrics on p.1)	Schools outperform competing public schools by significant margins on state tests, grad rates, and attendance at 4-year colleges. Measures of student outcomes show continuous improvement across all schools. Operational deficit per student continues to shrink. Operational metrics reflect increasing efficiency, as well as improvements in student recruitment, facilities quality and maintenance, student safety, etc. Metrics of teacher quality and teacher turnover continue to improve. Enrollment growth hits targets. Growing wait lists reflect significant community demand for organization's services.	Manager: ____ Self: ____ 360° avg: ____	•
Managing the Executive Committee	Establishes and leads the Board Executive Committee providing strategic planning leadership for the management team. Ensures that the Executive Committee membership reflects the current needs of the organization. Works closely with CEO to present key issues and initiatives to the Executive Committee for discussion.	Manager: ____ Self: ____ 360° avg: ____	•
Managing board membership	Ensures that the board membership reflects the current needs of the organization. Cultivates strong, long-term relationships with board members and potential board members. Holds board members to high standards of participation and replaces board members who do not meet them. Takes the lead with the Governance Committee to identify new board members and initiate the process whereby they would join the board. Takes a continuous improvement approach to board membership, always striving to improve the board's skill set, fundraising capacity, and engagement level.	Manager: ____ Self: ____ 360° avg: ____	•
Meeting management	Works closely with CEO and the management team to prepare materials for the board. Facilitates effective meetings in which board members engage on strategic issues relevant to the company's future. Ensures that meeting schedules, agendas, and minutes are clear and effective.	Manager: ____ Self: ____ 360° avg: ____	•
Evaluating the CEO	Works closely with the Executive Committee to set clear, ambitious performance expectations for the CEO, both quantitative and qualitative. Initiates frequent informal meetings with the CEO to discuss challenges and obstacles and strategies for overcoming them. Works closely with Executive Committee to provide annual formal evaluation of CEO's work, informed by strategic, operational and academic goals.	Manager: ____ Self: ____ 360° avg: ____	•

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

External Relations

	Meets Expectations	Eval scores	Comments
Fundraising	<p>Cultivates strong long-term relationships with key funders and potential funders. Works closely with CEO and the Executive Committee to develop 1-year, 3-year and 5-year fundraising plans to meet the strategic needs of the organization. Takes leadership role with Development Committee in formulating a fundraising strategy, identifying targets, and making initial contacts. Works closely with Marketing and Development Department to ensure follow-up and follow-through. Helps organization meet or exceed annual fundraising targets.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	<ul style="list-style-type: none"> • •
Media relations	<p>Works closely with CEO and Executive Committee to set goals for media exposure that are directly linked to the strategic plan. Cultivates strong relationships with national and local press to improve the organization’s public reputation and political influence. Provides public with inspiring-and-realistic vision of what organization can and cannot do.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	<ul style="list-style-type: none"> • •
Policy influence	<p>Cultivates strong, trusting relationships with politicians, policy makers, and union leaders at the local, state, and national levels. Provides thought leadership on organization’s options for putting pressure on local district(s). Builds reputation as public voice for charter schools and CMOs. Advocates effectively for policy changes that will ensure organization’s long-term viability and success.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	<ul style="list-style-type: none"> • •
Cultivation of districts/states as potential clients	<p>Cultivates strong, trusting relationships with district and state education officials across the country. Works closely with CEO and Executive Committee to develop national growth plan that reflects organization’s capacity for expansion. Provides leadership in evaluation of potential cities as favorable or unfavorable.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	<ul style="list-style-type: none"> • •

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Vision Setting and Inspiration

	Meets Expectations	Eval scores	Comments
Establishing the vision	Works closely with the CEO and the Executive Committee to formulate an ambitious, realistic, and specific vision for the future of the company. Provides thought leadership in generating and evaluating strategic options. Communicates plan extremely effectively to external and internal audiences, inspiring others to contribute their time and energy.	Manager: ____	•
		Self: ____	
		360° avg: ____	•
Inspiring employees	Actively builds strong relationships with school and home-office employees. Inspires all stakeholders to believe in the vision and mission. Spends significant time at local schools as well as school and important home-office events. Sets a tone of respect and support for all stakeholders, across the organization.	Manager: ____	•
		Self: ____	•
		360° avg: ____	
Planning for growth	Works closely with the CEO and the Executive Committee to identify and evaluate options for organization's growth.	Manager: ____	•
		Self: ____	
		360° avg: ____	•
Communication skills	Demonstrates excellent listening skills with colleagues and others. Works diligently to understand others' points-of-view. Handles conflicts with a high level of calmness and goodwill. Is clear and concise in written and verbal communications. Works with the Board and CEO to set performance expectations for the organization that are clear, ambitious, and realistic. Uses written and verbal communications to effectively lead and inspire school and home office staff, as well as others.	Manager: ____	•
		Self: ____	•
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Appendix D: Evaluation tool for CEO (Green Dot)

Annual Performance Evaluation – CEO

Name: _____ **Date** _____
Department: _____ **Position:** _____ **Career Path Level: E1**
Signature of CEO: _____
Signature of Board member: _____

Key Performance Metrics & Goals

Metric	Performance	Target	Change	Target
Average API				
College enrollment				
CST proficiency rates				
CAHSEE passing rates				
Teacher quality (how measure?)				
Teacher turnover				
Financial deficit per student (operating)				
% time principals spend on instructional leadership				
Wait list as percent of enrollment				
Enrollment growth				

Note: On an annual basis, the Executive Committee of the Board will assist the CEO and Chair in an effort to identify the organization’s Key Performance Metrics for that year.

Summary

Overall strengths: _____ **Overall opp.’s for development:** _____

- _____
- _____

Professional development plan for upcoming year:

- _____
- _____

Overall Evaluation Level: _____

Key to performance levels:
4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Organizational Outcomes and Instruction

	Meets Expectations	Eval scores	Strengths
Organizational outcomes (See metrics on p.1)	Schools outperform competing public schools by significant margins on state tests, grad rates, and attendance at 4-year colleges. Measures of student outcomes show continuous improvement across all schools. Operational deficit per student continues to shrink. Operational metrics reflect increasing efficiency, as well as improvements in student recruitment, facilities quality and maintenance, student safety, etc. Metrics of teacher quality and teacher turnover continue to improve. Enrollment growth hits targets that reflect organization’s mission. Growing wait lists reflect significant community demand for services.	Board: ____ Self: ____ 360° avg: ____	•
Curriculum	All schools implement a rigorous curriculum that is standards-based and reflects the highest academic expectations for all students – “College for Certain”. School schedules reflect a strong emphasis on the A-G requirements, and students are mentored to select a challenging set of classes that will ensure their completion of the requirements. Fosters a culture in which Education Team leaders and school administrators work closely with teachers to ensure that individual lesson plans foster students’ mastery of state standards.	Board: ____ Self: ____ 360° avg: ____	•
Instruction	Makes instructional coaching a primary focus for the organization especially for members of the Education Team and school administrator. Ensures that all teachers have access to high-impact, one-on-one coaching based on classroom observations. Creates an effective organization-wide focus on differentiated instruction. Teachers are given multiple opportunities for reflection on instruction, including video, peer review, etc. Creates a culture of ongoing professional development among teachers and other educators.	Board: ____ Self: ____ 360° avg: ____	•
Use of data	Creates culture in which all stakeholders use data to evaluate performance and push for continuous improvement. Takes a “no excuses” attitude toward student achievement. Ensures that home office provides valuable training and support to school-site educators in the analysis and use of data.	Board: ____ Self: ____ 360° avg: ____	•
Interventions and support services	Works closely with Education Team to ensure that students receive appropriate referrals for additional services. Supports Ed Services team to put programs in place to ensure that Special Ed, ELL, and Read 180 students are held to rigorous academic expectations and receive the support necessary to reach their full potential. Works closely with Education Team and Ed Services staff to ensure that the unique needs of every student are met. Implements processes to track the impact of services and programs on student behavior and achievement.	Board: ____ Self: ____ 360° avg: ____	•

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Leadership and People Management

	Meets Expectations	Eval scores	Strengths
Education Team	Organization hires and develops outstanding teachers. Principals and cluster directors show outstanding instructional leadership and management skills. Potential future school leaders are identified and cultivated, providing for a strong and deep leadership pipeline. World-class PD programs help school leaders reach their full potential. School leaders and cluster directors show extraordinary commitment to the mission. Negotiations with teacher’s union or association result in a contract focused on student achievement and teacher accountability.	Board: ____	•
		Self: ____	
		360° avg: ____	•
Home office	Home office managers show a sustained commitment to the mission and service to schools. CEO sets the highest performance standards, communicates specific expectations, and the organization provides the coaching and professional development necessary for department heads to become world-class managers. Home office employees see the organization as a place where they can have a fulfilling career and can reach their full potential. Implements effective succession planning for the Executive Team.	Board: ____	•
		Self: ____	
		360° avg: ____	•
Organizational culture	Company provides an extraordinarily positive environment for students and employees, both at schools and at the home office. Parents, students, and teachers can articulate what makes a our schools different than other local public schools . Parent, teacher, and student satisfaction is extremely high. Schools have an extremely strong sense of community and devotion to the mission.	Board: ____	•
		Self: ____	
		360° avg: ____	•
Performance management	Identifies organization’s key metrics and communicates importance to all stakeholders, including the board. Sets the highest standards of performance for all schools, departments and employees. A culture of high expectations, professional development, and accountability predominates across the company. Schools and departments collect and analyze data that allows them to continuously improve their performance. Employee performance evaluations are an established part of the company culture and reinforce the culture of high expectations, professional development, and accountability.	Board: ____	•
		Self: ____	
		360° avg: ____	•
Communication skills	Demonstrates excellent listening skills with colleagues and others. Works diligently to understand others’ points-of-view. Handles conflicts with a high level of calmness and goodwill. Is clear and concise in written and verbal communications. Sets performance expectations for the organization that are clear, ambitious, and realistic. Uses written and verbal communications to effectively lead and inspire school and home office staff, as well as others.	Board: ____	•
		Self: ____	
		360° avg: ____	•

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Operations

	Meets Expectations	Eval scores	Comments
Financial management	Ensures that the budget is managed responsibly. Consistently finds ways to accomplish “more with less.” Creates a culture of financial accountability among school and home office staff, and works closely with the CFO to ensure that spending is monitored and effective. Maximizes ADA and student revenue for the schools and makes extraordinary effort to align the use of financial resources with the best opportunities and outcomes for students.	Board: ____	•
		Self: ____	•
		360° avg: ____	
Systems, processes, and tools	Home office departments provide effective training and support to principals and other school-site staff. Systems and processes are highly efficient and effective, as demonstrated by showing significant improvement from year-to-year. School leaders and home-office employees understand which functions are centralized vs. decentralized, and policies reflect the appropriate trade-offs between local discretion and standardization. Software and other tools are easy-to-use and allow principals to focus the vast majority of their time and energy on being instructional leaders. School administrators and teachers feel that the organization provides them with the best possible environment in which to serve students.	Board: ____ _____	•
		Self: ____ _____	•
		360° avg: ____	
Risk management	CEO formulates big-picture assessment of potential risks to the company, including financial, legal, political, etc. Establishes systems and processes to ensure that employees minimize risk exposure. Sets the tone for the organization to take an appropriately conservative approach to compliance issues.	Board: ____ _____	•
		Self: ____ _____	•
		360° avg: ____	
Student recruitment	Meets annual student recruitment and attendance targets. All schools have significant and growing waiting lists, reflecting extremely strong community demand for services. Responsibility for local community marketing and student recruitment is clearly defined. Student recruitment and enrollment processes are extremely effective. CEO works closely with parent groups to generate community demand for organization’s schools and to identify high-potential areas for growth.	Board: ____ _____	•
		Self: ____	•
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Strategic Planning and External Relations

	Meets Expectations	Eval scores	Comments
Establishing the vision and plan	Works closely with the Chairman and the Executive Committee to formulate an ambitious, realistic, and specific vision and strategic plan for the future of the company. Provides thought leadership in generating and evaluating strategic options. Communicates plan extremely effectively to external and internal audiences, inspiring others to contribute their time, energy, and financial resources.	Board: ____	•
		Self: ____	•
		360° avg: ____	
Financial sustainability	Works closely with Chairman, Executive Committee, and CFO to formulate detailed model of organization’s path to financial sustainability. Provides critical thought leadership on alternative paths to financial sustainability. Provides clear path toward achieving financial sustainability.	Board: ____	•

		Self: ____	•
		360° avg: ____	
Planning for growth	Works closely with the Chairman and the Executive Committee to identify and evaluate options for growth, including considerations of the pace and nature of growth. Provides analytical framework for evaluating growth-vs.-retrenchment trade-offs, balancing the organization’s ambitious reform agenda with organization’s current capacities. Communicates growth plan to external and internal audiences in a way that inspires confidence.	Board: ____	•

		Self: ____	•
		360° avg: ____	
External relations	In collaboration with the Chairman, the Marketing Department, and the board’s Development Committee, formulates an effective plan for reaching out to potential donors, policy leaders, and the press. Works extremely effectively with the Chairman to ensure that the organization’s accomplishments are recognized and celebrated in the public eye and to influence policy debates at the local, state and federal levels.	Board: ____	•
		Self: ____	•
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Appendix E: Evaluation tool for home office executives (Green Dot)

Annual Performance Evaluation – Home Office Executives

Name:		Date	
Department:	Position:	Career Path Level: E_	
Signature of Employee:			
Signature of Evaluator:			

Technical competencies or expertise required for position

<ul style="list-style-type: none"> • • •

Departmental/Individual Performance Metrics

Metric	Performance	Target	Change	Target

<p>Overall strengths:</p> <ul style="list-style-type: none"> • • • 	<p>Overall opp.'s for development:</p> <ul style="list-style-type: none"> • •
--	--

<p>Professional development plan for upcoming year:</p> <ul style="list-style-type: none"> • • •
--

<p>Employee Comments:</p>

Overall Evaluation Level: _____

4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Service to Schools and Other Stakeholders

	Meets Expectations	Eval scores	Comments
Commitment to mission and values	<ul style="list-style-type: none"> • Demonstrates strong long-term commitment, in both words and actions, to organization’s mission of transforming public education. Across his/her department and the organization, continuously models a commitment to organization’s mission and core values. • Leads his/her department staff to put schools and students first. Cultivates department culture focused on the critical link between the department’s work and the effective operation of schools. Sees all home-office work through the prism of what is right for organization’s students, families, and schools. • Has comprehensive grasp of organization, critical trends in performance, and the external context (district politics, education sector, philanthropy sector, etc.). Provides internal and external contextual knowledge to staff to inform their work. 	Manager: __	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: __	
Responsiveness	<ul style="list-style-type: none"> • Sets ambitious and measurable customer service goals for department. Takes ownership of the department’s value-add to the organization. Leads department and organization initiatives to improve processes to serve schools better in the long run. • Sets tone and expectations for highest responsiveness level from all staff in department. Department staffs follow through with customer issues until resolution, demonstrating patience, persistence, and a sense of urgency. Effectively solves customer problems that have escalated, particularly those that span across departments. • Cultivates strong, trusting relationships between department and school leaders. Creates a sense of teamwork and mutual problem-solving between central and school staff. 	Manager: __	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: __	
Competencies and expertise	<ul style="list-style-type: none"> • Builds a team that demonstrates mastery of all tools necessary to do their jobs, including technical knowledge and skills. Seeks out professional development for his/her staff and school staff to accomplish the department’s work. • Exerts effective quality control of the work of all department staff, and department employees execute the technical aspects of their work with zero defect. • Demonstrates managerial proficiency with all technical tools in his/her department. Identifies department- and organization-wide tools that can significantly improve organizational performance and the home office’s service to schools. 	Manager: __	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: __	
Strategic planning	<ul style="list-style-type: none"> • Provides thought leadership in generating and evaluating strategic options available to his/her department. Anticipates challenges facing the department and takes proactive approach to address those problems. • Communicates department plans extremely effectively to department staff, other members of the Executive Team, and schools. Establishes a department culture in which all staff think strategically. • Participates fully in company-wide strategic planning as a member of the Executive Team. Provides thought leadership to generate and evaluate strategic options for organization as a whole. Takes a long-term, big-picture view of the company’s success. 	Manager: __	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: __	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Teamwork and Organization Building

	Meets Expectations	Eval scores	Comments
Within the department	<ul style="list-style-type: none"> Consistently hires outstanding staff who are committed to the organization’s mission and the highest standards of performance. Facilitates teamwork among direct reports by creating work processes that enable information sharing and collaboration among team members. Builds strong relationships with all staff in the department. Puts the team first. Actively works to improve the morale and performance of department staff. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Across the home office	<ul style="list-style-type: none"> Builds strong working relationships with key colleagues in other departments, especially other members of the Executive Team, and encourages direct reports to do so. Effectively coordinates cross-department personnel in performing his/her department’s work. Creates appropriate opportunities for cross-department transfer of information. Facilitates cross-department work to simplify processes and improve service to schools. Has the trust and respect of employees of all seniority levels and across all departments. Sets a positive, proactive tone in day-to-day interactions. Consistently makes it a priority to assist, support, and mentor other employees. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Process improvement	<ul style="list-style-type: none"> Makes a concerted effort to document and standardize effective work processes within the department. Ensures that processes improve from month-to-month and year-to-year, even in stressful situations. Works effectively with direct reports, other employees within the department, within the home office, and in schools in order to simplify and document effective work processes. Establishes processes to ensure that departmental records are organized and accessible. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Striving for Excellence and Professional Development

	Meets Expectations	Eval scores	Comments
Professional development	<ul style="list-style-type: none"> Actively seeks out opportunities to take on more responsibility and to develop more managerial skills. Shows initiative in working with CEO/COO to define professional development goals. Takes concrete steps to meet those goals. Actively seeks out coaching and feedback from CEO/COO, direct reports, peers on the Executive Team, and others. Establishes the importance of professional development among all direct reports. Takes personal responsibility for mistakes and takes corrective action when necessary. 	Manager: __	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: __	
Communication skills	<ul style="list-style-type: none"> Demonstrates excellent listening skills with colleagues and others. Works diligently to understand others’ points-of-view. Handles conflicts with a high level of calmness and goodwill. Uses clear-and-concise written/verbal communications to effectively lead others. Clearly and persuasively presents complex business insights with appropriate supporting data. Effectively facilitates internal and external meetings. 	Manager: __	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: __	
Management of time and budgets	<ul style="list-style-type: none"> Uses the department’s time effectively to provide and improve service to schools and accomplish the work of the home office. Has the “big picture” perspective to invest time in high-impact projects that will improve efficiency in the long term. Leverages CEO/COO’s time, skills and experience to solve complex problems, defining clear issues and seeking focused feedback Effectively delegates and leverages the time/skills of direct reports, providing appropriate timeframes and project scopes to achieve objectives. Shows willingness to work hard and sets the highest expectations for self and others, but also maintains a sustainable work-life balance for all staff. Understands the department’s budget in detail. Shows creativity in managing budgets and accomplishing “more with less.” 	Manager: __	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: __	
Performance management	<ul style="list-style-type: none"> Sets department goals – both quantitative and qualitative – that are ambitious and specifics. Manages department staff to achieve these goals. Establishes processes to track data relevant to goals and takes a “continuous improvement” approach to department performance. Communicates performance expectations for direct reports that are clear, ambitious, and realistic. Provides high-impact, proactive coaching and continuous feedback to direct reports. Utilizes the performance evaluation process to reflect on past performance and establish professional development goals for self and others. Sets the highest standards for him/herself as a manager. 	Manager: __	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: __	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Appendix F: Evaluation tool for home office managers (Green Dot)

Annual Performance Evaluation – Home Office Managers

Name:		Date	
Department:	Position:	Career Path Level: M_	
Signature of Employee:			
Signature of Evaluator:			

Technical competencies or expertise required for position

<ul style="list-style-type: none"> • • •

Departmental/Individual Performance Metrics

Metric	Performance	Target	Change	Target

<p>Overall strengths:</p> <ul style="list-style-type: none"> • • • 	<p>Overall opp.'s for development:</p> <ul style="list-style-type: none"> • •
--	--

<p>Professional development plan for upcoming year:</p> <ul style="list-style-type: none"> • • •
--

<p>Employee Comments:</p>

Overall Evaluation Level: _____

4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Service to Schools and Other Stakeholders

	Meets Expectations	Eval scores	Strengths
Commitment to mission and values	<ul style="list-style-type: none"> Shows strong commitment, through both words and actions, to organization’s mission of transforming public education. Guides his/her function by putting schools and students first. Sets a “customer service” outlook for direct reports. Understands and communicates the critical link between his/her function’s work and the effective operation of schools. Sees all home-office work through the prism of what is right for organization’s students, families, and schools. Has broad knowledge of organization and the education sector to inform functional or cross-functional work. Provides contextual organizational knowledge to direct reports to inform their work. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Responsiveness	<ul style="list-style-type: none"> Sets ambitious and measurable customer service goals for the function he/she oversees. Takes ownership of the function’s value-add to the organization. Effectively diagnoses and solves customer problems, particularly those that span across functions. Follows through with customer issues until resolution, demonstrating patience, persistence, and a sense of urgency. Cultivates strong, trusting relationships between his/her function and school leaders. Creates a sense of teamwork and mutual problem-solving between function staff and school staff. Takes initiative to improve function-wide processes to serve schools better in the long run. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Competencies and expertise	<ul style="list-style-type: none"> Demonstrates a mastery of all tools/skills necessary to carry out his/her function, including technical skills (e.g. software) and knowledge (e.g. governing laws). Executes technical aspects of his/her function with zero defect, and exerts effective quality-control over the work of direct reports. Identifies technical tools and professional development opportunities – for self and direct reports – that will allow function to improve performance and serve schools more effectively. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Teamwork and Organization Building

	Meets Expectations	Eval scores	Strengths
Within the department	<ul style="list-style-type: none"> • <i>Only for managers with direct reports:</i> Consistently hires outstanding staff who are committed to the organization’s mission and the highest standards of performance (if applicable). Facilitates teamwork among direct reports by creating work processes that enable information sharing and collaboration among team members. Creates appropriate forums for functional staff to provide input on function-wide planning. • Builds strong relationships with colleagues in the department. Puts the team first. Is flexible with time and provides appropriate help and input to improve teammates’ performance. Works to improve and keep morale high across the department. • Actively works to improve the morale and performance of department colleagues. 	Manager: _____	<ul style="list-style-type: none"> • •
		Self: _____	
		360° avg: _____	
Across the home office	<ul style="list-style-type: none"> • Builds strong working relationships with key colleagues in other home office departments and encourages direct reports to do so. • Effectively coordinates with cross-function personnel in performing his/her function’s work. Openly and effectively shares information with other departments. Actively looks for cross-function opportunities to simplify processes and improve service to schools. • Earns the trust and respect of employees of all seniority levels and across all home-office departments. Sets a positive, proactive tone in interactions with others. • Consistently makes it a priority to assist and support other employees, both in the home office. 	Manager: _____	<ul style="list-style-type: none"> • •
		Self: _____	
		360° avg: _____	
Process improvement	<ul style="list-style-type: none"> • Makes a concerted effort to document and standardize effective work processes within the function. • Takes a “big picture” view in order to ensure that processes improve from month-to-month and year-to-year. • Works effectively with direct reports, other employees within the department, within the home office, and in schools in order to simplify and document effective work processes. • Establishes processes to ensure that function-wide records are organized and accessible. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: _____	
		360° avg: _____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Striving for Excellence and Professional Development

	Meets Expectations	Eval scores	Strengths
Professional development	<ul style="list-style-type: none"> Actively seeks out opportunities to take on more responsibility and to develop more skills. Shows initiative in working with supervisor to define professional development goals and takes concrete steps to meet those goals. Takes personal responsibility for mistakes and takes corrective action. Actively seeks out coaching and feedback from supervisor, direct reports, and others. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Communications skills	<ul style="list-style-type: none"> Demonstrates excellent listening skills with colleagues and others. Works diligently to understand others' points-of-view. Handles conflicts with a high level of calmness and goodwill. Is clear and concise in written and verbal communications. Effectively communicates business insights with appropriate supporting data. Presents clearly and facilitates effectively in internal and external meetings. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Management of time and budgets	<ul style="list-style-type: none"> Uses the function's time effectively to provide and improve service to schools and accomplish the work of the home office. Takes the "big picture" perspective to invest time in projects that will improve efficiency in the long term. Leverages executives' time to solve complex problems, providing clear updates and seeking focused feedback. Effectively delegates tasks and projects, providing appropriate timeframes and scopes for direct reports. Shows willingness to work hard and sets the highest standards for self and direct reports, but encourages a sustainable work-life balance for all staff. Knows his/her function's budget. Shows creativity in managing budgets and accomplishing "more with less." 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Performance management	<ul style="list-style-type: none"> Sets function-wide goals – both quantitative and qualitative – that are ambitious and specific. Establishes processes to track data relevant to goals and takes a "continuous improvement" approach to the function's performance. Sets performance expectations for direct reports that are clear, ambitious, and realistic. Provides proactive coaching and continuous feedback to direct reports. Utilizes performance evaluation process to reflect on performance and establish professional development goals. Sets the highest standards for him/herself as a manager. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Appendix G: Evaluation tool for home office associates (Green Dot)

Annual Performance Evaluation – Home Office Associates

Name:		Date	
Department:	Position:	Career Path Level: A_	
Signature of Employee:			
Signature of Evaluator:			

Technical competencies or expertise required for position

<ul style="list-style-type: none"> • • •

Departmental/Individual Performance Metrics

Metric	Performance	Target	Change	Target

<p>Overall strengths:</p> <ul style="list-style-type: none"> • • • 	<p>Overall opp.’s for development:</p> <ul style="list-style-type: none"> • •
--	--

<p>Professional development plan for upcoming year:</p> <ul style="list-style-type: none"> • • •
--

<p>Employee Comments:</p>

Overall Evaluation Level: _____

4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Service to Schools and Other Stakeholders

	Meets Expectations	Eval scores	Comments
Commitment to mission and values	<ul style="list-style-type: none"> Shows a strong commitment, through both words and actions, to organization’s mission to transform public education. Understands the critical link between his/her work in the home office and the effective operation of schools. Sees all home-office work through the prism of what is right for the organization’s students, families, and schools. Has sufficient knowledge of organization and the education business to inform his/her work. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Responsiveness	<ul style="list-style-type: none"> Demonstrates patience, persistence, and a sense of urgency in working with customers, even in stressful situations. Follows through with customer issues until resolution. Recognizes and escalates customer problems beyond his/her capacity to the appropriate supervisor. Listens to customers to derive insights and expeditiously solve the customer’s problem. Develops trusting relationships with school staff based on teamwork and mutual problem-solving. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Competencies and expertise	<ul style="list-style-type: none"> Executes technical aspects of his/her work with zero defect. Demonstrates proficiency with all tools necessary to do his/her job, including technical skills (e.g. software) and knowledge (e.g. governing laws). Seeks out training in skills, tools, or knowledge that will enable him/her to perform the job more effectively and provide better service to schools. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Teamwork and Organization Building

	Meets Expectations	Eval scores	Comments
Within the department	<ul style="list-style-type: none"> • Internalizes the goals of the department and sees how his/her work fits into the department’s mission. Provides thoughtful input to department’s planning. Demonstrates a desire to contribute to department’s success, even on projects outside his/her specific position. • Builds strong relationships with other department members. Puts the team first. Is flexible with time and provides appropriate help or input to raise teammates’ performance. Works to keep morale high in department. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Across the home office	<ul style="list-style-type: none"> • Builds strong working relationships with key colleagues in other home office departments. Looks for cross-departmental opportunities to simplify processes and improve service to schools. • Participates in office-wide initiatives to build a strong home office culture. • Sets a positive, proactive tone in interactions with others. Earns the trust and respect of employees of all seniority levels and across all home-office departments. • Consistently makes it a priority to assist and support other employees, both in the home office and at the schools. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Process improvement	<ul style="list-style-type: none"> • Makes a concerted effort to document and standardize effective work processes. • Takes a “big picture” view in order to ensure that processes improve from month-to-month and year-to-year, even in stressful situations. • Works effectively with other employees within the department, within the home office, and in schools in order to simplify and document effective work processes. • Keeps accurate records that are organized and accessible to others. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Striving for Excellence and Professional Development

	Meets Expectations	Eval scores	Comments
Professional development	<ul style="list-style-type: none"> • Seeks out opportunities to take on more responsibility and to develop more skills. • Shows initiative in working with supervisor to define professional development goals and takes concrete steps to meet those goals. • Takes personal responsibility for mistakes and takes corrective action when appropriate. Seeks out coaching and feedback from supervisor and others. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Communications skills	<ul style="list-style-type: none"> • Demonstrates excellent listening skills with colleagues and others. Works diligently to understand others' points-of-view. • Handles conflicts with calmness and goodwill. • Is clear and concise in written and verbal communications. Effectively communicates business insights with appropriate supporting data. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	
Time management	<ul style="list-style-type: none"> • Uses time effectively to provide and improve service to schools and accomplish the work of the home office. • Able to take a “big picture” view to invest time in projects that will improve efficiency in the long term. • Leverages supervisor’s time by providing focused updates and seeking focused feedback. • Shows a willingness to work hard and sets high standards for self, but also maintains a sustainable work-life balance. 	Manager: ____	<ul style="list-style-type: none"> • •
		Self: ____	
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Appendix H: Evaluation tool for cluster leaders/ regional VPs (Green Dot)

Annual Performance Evaluation – Cluster Directors

Name: _____ **Date** _____
Department: _____ **Position:** _____ **Career Path Level:** E_
Signature of Employee: _____
Signature of Evaluator: _____

Key Measures of Student Achievement

Metric _____ **Performance** _____ **Target** _____ **Change** _____ **Target** _____

Key Measures of Operations

Metric _____ **Performance** _____ **Target** _____ **Change** _____ **Target** _____

Overall strengths:

-
-
-

Overall opp.’s for development:

-
-

Professional development plan for upcoming year:

-
-
-

Employee Comments:

Overall Evaluation Level: _____

4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Instructional Leadership

	Meets Expectations	Eval scores	Comments
High standards of achievement	Establishes a culture of rigorous academic achievement by ensuring that schools regularly celebrate student successes. All schools implement consistent systems of student accountability for discipline and student achievement. Uses clear goals and effective systems to hold all administrators accountable for student achievement. Encourages two-way communication between educators and students/parents regarding individual student progress.	Manager: ____ Self: ____ 360° avg: ____	•
“College for Certain” curriculum	Promotes a college-going culture. All schools implement a rigorous college-prep curriculum that is standards-based and reflects the highest academic expectations for all students. Administrators and teachers engage in academic planning with students to ensure that they are on track to meet the A-G requirements. Administrators work closely with teachers to ensure that individual lesson plans foster students’ mastery of state standards. All students receive support/encouragement in their efforts to apply to appropriate colleges.	Manager: ____ Self: ____ 360° avg: ____	•
Instructional coaching and PD	All principals conduct at least one informal classroom observation per day, one face-to-face debrief at least once a quarter with each teacher, and formal observations at least once a semester with each teacher. Uses the “Observing the Evaluator” tool effectively to coach/mentor administrators on how to improve teachers’ instruction. Creates an effective cluster-wide focus on differentiated instruction. Teachers have access multiple opportunities for reflection on instruction, including video, peer review, etc. Administrators guide teachers in tracking progress against professional goals.	Manager: ____ _____ Self: ____ _____ 360° avg: ____	•
Use of data	Takes a “no excuses” attitude toward student achievement. Actively uses multiple data sources to evaluate cluster’s performance and push for continuous improvement. Works with administrators to ensure that benchmark reports, CST results and other data are used to improve instruction. Evaluates programs and interventions based on data. Provides effective cluster-wide training and support aligned with SMART goals.	Manager: ____ _____ Self: ____ _____ 360° avg: ____	•
Interventions and Ed Services	Works closely with teachers to ensure that students receive appropriate referrals for additional services. Puts programs in place to ensure that Special Ed, ELL, and Read 180 students are held to rigorous academic expectations and receive the support necessary to reach their full potential. Works closely with administrators and the Ed Services team to meet the unique needs of every student.	Manager: ____ Self: ____ 360° avg: ____	•

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Community Leadership

	Meets Expectations	Eval scores	Comments
Mission, vision and expectations	<p>Develops and communicates a mission and vision for the cluster that is consistent with GD’s mission. Inspires all stakeholders to unite around the vision. Deeply understands, embraces, and consistently acts in ways that are aligned with the Green Dot mission and vision. Communicates Green Dot’s mission and high expectations effectively, and fosters a commitment to the mission among all stakeholders.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	<ul style="list-style-type: none"> • •
Customer service	<p>Consistently responds to administrator and teacher requests in a timely and appropriate manner. Deeply understands the needs of different stakeholders and develops trusting relationships with key constituencies. Establishes systems and protocols for garnering ongoing feedback from administrators, students, parents and teachers. Uses feedback as a guide, proactively and creatively finding ways to increase stakeholder satisfaction.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	<ul style="list-style-type: none"> • •
Organizational culture	<p>Promotes a feeling of community on all campuses. All schools develop a culture that rewards and celebrates the achievements of all stakeholders in a variety of ways (public acknowledgement, letters of commendation, etc.). Establishes aggressive cluster and school goals that motivate and inspire all stakeholders. Creates an environment in which diversity is cherished and in which all stakeholders take pride in individual accomplishments, both academic and non-academic. Maintains high morale throughout the year.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	<ul style="list-style-type: none"> • •
Personal development	<p>Sets the highest standards for his/herself as a leader. Develops an evidence-based understanding of strengths and opportunities to improve skills. Actively seeks to develop new leadership skills and to learn from other GD leaders, including other cluster directors and home office executives. Demonstrates openness to coaching and feedback from all stakeholders.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	<ul style="list-style-type: none"> • •

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

People Management

		Eval scores	Strengths
Staff empowerment	Meets Expectations		
	Recruits, hires, and develops outstanding staff – especially teachers – who are dedicated to excellence and GD’s mission. Empowers administrators to make thoughtful decisions at their schools. Delegates and collaborates as a way to train and motivate new leaders. Inspires staff to strive for their full potential and to take initiative to improve the school. Builds a highly cohesive team in which administrators and teachers work together to improve instruction and service to students. Encourages collaboration, reflection, respectful challenge, and thoughtful exchange.	Manager: ____ _____	•
		Self: ____ _____	
		360° avg: ____	•
Staff accountability	Creates a culture of accountability by setting ambitious and realistic SMART goals for the cluster and tracking progress. Conducts thorough and timely formal evaluations of administrators and staff that uphold high standards of professional conduct and student achievement. Provides ongoing informal feedback that is linked to professional and school goals and that includes actionable recommendations for growth. Exercises good judgment in how to hold staff accountable for actions and results.	Manager: ____ _____	•
		Self: ____ _____	
		360° avg: ____	•
Communications	Oral and written communications are clear, concise, thorough and timely. Actively listens to staff concerns and encourages solution-focused dialogue. Models effective two-way communication. Communicates clear and compelling performance goals for all stakeholders. Cultivates a culture of open communication and accountability for all stakeholders.	Manager: ____ _____	•
		Self: ____ _____	
		360° avg: ____	•

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Cluster Operations

	Meets Expectations	Eval scores	Comments
Financial management	Maintains a balanced budget across the cluster and manages expenses responsibly. Consistently finds creative ways to accomplish “more with less.” Creates a culture of financial accountability among school-site staff, and works well with F&A staff to monitor expenses. Maximizes ADA and student revenue within the cluster. Makes concerted effort to align the use of financial resources with educational goals.	Manager: ____	•
		Self: ____	•
		360° avg: ____	•
School environment	All schools offer a safe, secure, and clean school environment that is compliant with all relevant laws and regulations. Maximizes student safety by working with Security staff to address potential problems and track incidents. In partnership with administrators, actively identifies maintenance issues and uses work orders effectively to keep the school well-maintained and clean. Nurtures a culture that maintaining clean and secure facilities is the responsibility of all GD staff and stakeholders.	Manager: ____	•
		Self: ____	•
		360° avg: ____	•
Strategic planning	Develops a thoughtful, ambitious strategic plan for the cluster, including goals for student outcomes and operations. Effectively communicates plan to all stakeholders. Creates processes to achieve high performance in an entrepreneurial environment. Anticipates obstacles and engages in short- and long-term planning to minimize crises – academic, financial, and operational. Actively involves all stakeholders – especially school administrators – in strategic planning, inspiring them to unite around the vision for the cluster.	Manager: ____	•
		Self: ____	•
		360° avg: ____	•
Problem solving	Takes a creative and entrepreneurial approach to solving problems of all kinds. Resolves conflict fairly and consistently. Earns the trust of all stakeholders and maintains a sense of calm and control, even in times of crisis. Actively seeks out appropriate outside help. Seeks out contrary opinions. Takes responsibility for mistakes and acts quickly to take corrective action. Sets clear priorities for self and staff, and manages staff time extremely effectively. Establishes clear and effective systems, processes, and policies across the cluster. Conducts efficient meetings, and manages staff time effectively to address school goals.	Manager: ____	•
		Self: ____	•
		360° avg: ____	•

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

External Relations

	Meets Expectations	Eval scores	Comments
Parents	All schools demonstrate a culture of active parent involvement and parent accountability for their children’s behavior and performance. Teachers and administrators develop trusting relationships with parents and use a variety of means to communicate with parents about school policies and activities. Schools establish effective systems for parent accountability around service hours and student behavior. School staff actively seek out parent feedback, both formally and informally, and uses parent input to improve service to students.	Manager: ____ Self: ____ 360° avg: ____	<ul style="list-style-type: none"> • •
Community partners	With school administrators, develops strong working relationships with local businesses, churches, and community groups. Nurtures Green Dot’s reputation in the community. Actively seeks to understand the needs of the local community and works with administrators to tailor programs to the needs of students. Works with community partners (police, neighborhood councils, etc.) to maintain safe and secure environment at all schools.	Manager: ____ Self: ____ 360° avg: ____	<ul style="list-style-type: none"> • •
Home office	Leverages home office staff and expertise to resolve problems at schools, both educational and operational. Develops strong working relationships with key department heads, and takes leadership role in improving processes to ensure that principals can focus most of their time on instructional leadership. Nurtures a culture of cooperative problem-solving between school-site staff and home office staff. As a member of the Executive Team, makes specific and significant contributions to company-wide strategic planning.	Manager: ____ Self: ____ 360° avg: ____	<ul style="list-style-type: none"> • •
Student recruitment & retention	Establishes effective processes to recruit new students and maintain an active wait list of at least 20% of enrollment at all schools. With administrators, develops strong relationships with educators at local middle schools in order to identify potential students. Schools sponsor recruitment events that draw large crowds from the target community and that inspire families to apply for admission. School staff use feedback to improve student satisfaction and understand student needs. Cluster maintains high levels of student retention.	Manager: ____ Self: ____ 360° avg: ____	<ul style="list-style-type: none"> • •

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Appendix I: Evaluation tool for school principals (Green Dot)

Annual Performance Evaluation – Principals

Name: _____ **Date** _____
Department: _____ **Position:** _____ **Career Path Level: P_** _____
Signature of Employee: _____
Signature of Evaluator: _____

Key Measures of Student Achievement

Metric	Performance	Target	Change	Target
---------------	--------------------	---------------	---------------	---------------

Key Measures of Operational Health

Metric	Performance	Target	Change	Target
---------------	--------------------	---------------	---------------	---------------

Overall strengths:

-
-
-

Overall opp.'s for development:

-
-

Professional development plan for upcoming year:

-
-
-

Employee Comments:

Overall Evaluation Level: _____

4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Instructional Leadership

	Meets Expectations	Eval scores	Strengths
High standards of achievement	Establishes a culture of rigorous academic achievement by regularly celebrating student successes. Uses consistent systems of student accountability for discipline and student achievement. Uses clear goals and effective systems to hold all staff accountable for student achievement. Fosters two-way communication with students and parents regarding individual student progress.	Manager: ____ Self: ____ 360° avg: ____	•
“College for Certain” curriculum	Promotes a college-going culture. Implements a rigorous college-prep curriculum that is standards-based and reflects the highest academic expectations for all students. Facilitates academic planning with students to ensure that they are on track to meet the A-G requirements. Works closely with teachers to ensure that individual lesson plans foster students’ mastery of state standards. Ensures that all students receive support/encouragement in their efforts to apply to appropriate colleges.	Manager: ____ Self: ____ 360° avg: ____	•
Instructional coaching and PD	Spends significant time every day observing classroom instruction, both formally and informally. Performs formal classroom observations, including one-on-one debrief, at least once a quarter. Provides high-impact, one-on-one coaching based on classroom observations. Creates an effective school-wide focus on differentiated instruction. Provides teachers with multiple opportunities for reflection on instruction, including video, peer review, etc. Guides teachers in tracking progress against professional goals.	Manager: ____ _____ Self: _____ 360° avg: ____	• •
Use of data	Takes a “no excuses” attitude toward student achievement. Actively uses multiple data sources to evaluate school’s performance and push for continuous improvement. Works with department heads to ensure that benchmark reports and other data are used to improve instruction. Evaluates programs and interventions based on data. Provides effective training and support aligned with school-wide SMART goals.	Manager: _____ Self: _____ 360° avg: ____	• •
Interventions and Ed Services	Works closely with teachers to ensure that students receive appropriate referrals for additional services. Puts programs in place to ensure that Special Ed, ELL, and Read 180 students are held to rigorous academic expectations and receive the support necessary to reach their full potential. Works closely with teachers and Ed Services staff to meet the unique needs of every student.	Manager: ____ Self: ____ 360° avg: ____	• •

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Community Leadership

	Meets Expectations	Eval scores	Comments
Mission, vision and expectations	Deeply understands, embraces, and consistently acts in ways that are aligned with the mission and vision. Communicates the mission and high expectations effectively, and fosters a commitment to the mission among all stakeholders. Understands, embraces, and continuously works to improve expectations for personal and team performance. Creates and executes timely, robust, and flexible action plans that respond to school data and align with the school’s mission.	Manager: ____	•
		Self: ____	
		360° avg: ____	•
Customer service	Consistently responds to parents, student and staff requests in a timely and appropriate manner. Deeply understands the needs of different stakeholders and develops trusting relationships with key constituencies. Establishes systems and protocols for garnering ongoing feedback from students, parents and teachers. Uses feedback as a guide, proactively and creatively finding ways to increase stakeholder satisfaction.	Manager: ____	•
		Self: ____	
		360° avg: ____	•
Positive school culture	Promotes a feeling of community on campus. Creates a school culture that rewards and celebrates the achievements of all stakeholders in a variety of ways (public acknowledgement, letters of commendation, etc.). Sets aggressive school-wide goals that motivate and inspire all stakeholders. Creates an environment in which diversity is cherished and in which all stakeholders take pride in individual accomplishments, both academic and non-academic. Maintains high morale throughout the year.	Manager: ____	•
		Self: ____	
		360° avg: ____	•
Personal development	Sets the highest standards for his/herself as a leader. Develops an evidence-based understanding of strengths and opportunities to improve skills. Actively seeks to develop new leadership skills and to learn from other school leaders. Demonstrates openness to coaching and feedback from all stakeholders.	Manager: ____	•
		Self: ____	
		360° avg: ____	•

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

People Management

	Meets Expectations	Eval scores	Strengths
Students	Develops strong individual relationships with students in order to help them reach their full potential. Establishes a Code of Conduct and disciplinary processes that are progressive, consistent and fair. Maintains a focus on positive reinforcement and appropriate consequences for misconduct. Leads teachers, parents, and students to implement processes fairly and consistently. Provides ample opportunities for students to get involved in a variety of extracurricular activities (sports, clubs, etc.).	Manager: ____	•
		Self: ____	
		360° avg: ____	•
Staff empowerment	Recruits and hires outstanding staff – especially teachers – who are dedicated to excellence and the organization’s mission. Empowers staff to make thoughtful decisions in their area(s) of expertise. Exercises appropriate authority and control. Delegates and collaborates as a way to train and motivate new leaders. Inspires staff – both certified and classified – to strive for their full potential and to take initiative to improve the school. Builds a highly cohesive team in which teachers and other staff work together to improve instruction and service to students.	Manager: ____	•
		Self: ____	
		360° avg: ____	•
Staff accountability	Creates a culture of accountability by setting ambitious and realistic SMART goals for the school and tracking progress. Conducts thorough and timely formal evaluations of teachers and staff that uphold the highest standards of professional conduct and student achievement. Provides ongoing informal feedback that is linked to professional and school goals and that includes actionable recommendations for growth.	Manager: ____	•
		Self: ____	
		360° avg: ____	•
Communications	Oral and written communications are clear, concise, thorough and timely. Actively listens to staff concerns and encourages solution-focused dialogue. Models effective two-way communication. Sets clear and compelling performance goals for all stakeholders. Cultivates a culture of open communication and accountability for all stakeholders.	Manager: ____	•
		Self: ____	
		360° avg: ____	•

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

School Operations

	Meets Expectations	Eval scores	Comments
Financial management	Maintains a balanced budget and manages expenses responsibly. Consistently finds creative ways to accomplish “more with less.” Creates a culture of financial accountability among staff, and works well with F&A staff to monitor expenses. Maximizes ADA and student revenue. Makes concerted effort to align the use of financial resources with educational goals.	Manager: ____	•
		Self: ____	•
		360° avg: ____	•
School environment	Creates a safe, secure, and clean school environment that is compliant with all relevant laws and regulations. Maximizes student safety by working with Security staff to address potential problems and track incidents. Actively identifies maintenance issues and uses work orders effectively to keep the school well-maintained and clean. Nurtures a culture that maintaining a clean and secure facility is the responsibility of everyone.	Manager: ____ _____	•
		Self: ____ _____	•
		360° avg: ____	•
Planning	Creates processes to achieve high performance in an entrepreneurial environment. Anticipates obstacles and engages in short- and long-term planning to minimize crises – academic, financial, and operational. Develops and communicates an ambitious, big-picture vision for what the school can become. Actively involves all stakeholders in strategic planning, inspiring them to unite around the vision. Recognizes and addresses early signs of problems.	Manager: ____ _____	•
		Self: ____ _____	•
		360° avg: ____	•
Problem solving	Takes a creative and entrepreneurial approach to solving problems of all kinds. Resolves conflict fairly and consistently. Earns the trust of all stakeholders and maintains a sense of calm and control, even in times of crisis. Actively seeks out appropriate outside help. Seeks out contrary opinions. Takes responsibility for mistakes and acts quickly to take corrective action. Sets clear priorities for self and staff, and manages staff time extremely effectively. Establishes clear and effective systems, processes, and policies. Conducts efficient meetings, and manages staff time effectively to address school goals.	Manager: ____	•
		Self: ____	•
		360° avg: ____	•

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

External Relations

	Meets Expectations	Eval scores	Comments
Parents	Creates a culture of active parent involvement in the school and accountability for their children’s behavior and performance. Develops trusting relationships with parents and uses a variety of means to communicate with parents about school policies and activities. Establishes effective systems for parent accountability around service hours and student behavior. Actively seeks out parent feedback, both formally and informally, and uses parent input to improve service to students.	Manager: ____	•
		Self: ____	•
		360° avg: ____	
Community partners	Develops strong working relationships with local businesses, churches, and community groups. Nurtures the school’s reputation in the community. Actively seeks to understand the needs of the local community and tailors programs to the needs of local families.	Manager: ____	•
		Self: ____	•
		360° avg: ____	
Home office	Develops strong working relationships with home office staff, focused on cooperative problem-solving. Communicates school’s needs and concerns effectively. Demonstrates a willingness to share best practices with other schools and to learn from others’ best practices. Demonstrates persistence and patience as new home office systems and processes are put in place. Meets reporting guidelines.	Manager: ____	•
		Self: ____	•
		360° avg: ____	
Student recruitment	Establishes effective processes to recruit new students and maintains an active wait list of at least 20% of enrollment. Develops strong relationships with educators at local middle schools in order to identify potential students. Sponsors recruitment events that draw large crowds from the target community and that inspire families to apply for admission.	Manager: ____	•
		Self: ____	•
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Appendix J: Evaluation tool for assistant principals (Green Dot)

Annual Performance Evaluation – Assistant Principals

Name: _____ **Date** _____
Department: _____ **Position:** _____ **Career Path Level: AP_** _____
Signature of Employee: _____
Signature of Evaluator: _____

Key Measures of Student Achievement

Metric	Performance	Target	Change	Target
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Key Measures of School Operations

Metric	Performance	Target	Change	Target
--------	-------------	--------	--------	--------

Overall strengths:

Overall opp.'s for development:

Professional development plan for upcoming year:

Employee Comments:

Overall Evaluation Level: _____

4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Instructional Leadership

	Meets Expectations	Eval scores	Comments
High standards of achievement	Supports a culture of rigorous academic achievement by regularly celebrating student successes. Works as a team with principal to implement systems of student accountability for discipline and student achievement. Supports principal’s effort to establish clear goals and effective systems to hold all staff accountable for student achievement. Fosters two-way communication with students and parents regarding individual student progress.	Manager: ____ Self: ____ 360° avg: ____	
“College for Certain” curriculum	Promotes a college-going culture. Supports implementation of a rigorous college-prep curriculum that is standards-based and reflects the highest academic expectations for all students. Facilitates academic planning with students to ensure that they are on track to meet the A-G requirements. Works closely with teachers to ensure that individual lesson plans foster students’ mastery of state standards. Ensures that all students receive support/encouragement in their efforts to apply to appropriate colleges.	Manager: ____ Self: ____ 360° avg: ____	
Instructional coaching and PD	Conducts at least one informal classroom observation per day and provides high-impact, one-on-one coaching informed by the “Observing the Evaluator” tool. Helps create an effective school-wide focus on differentiated instruction. Provides teachers with access to multiple opportunities for reflection on instruction, including video, peer review, etc. Assists teachers in tracking progress against professional goals.	Manager: ____ Self: ____ 360° avg: ____	
Use of data	Takes a “no excuses” attitude toward student achievement. Actively uses multiple data sources to evaluate school’s performance and push for continuous improvement. Works with principal and department heads to ensure that benchmark reports and other data are used to improve instruction. Evaluates programs and interventions based on data. Works with principal to provide effective training and support aligned with school-wide SMART goals.	Manager: ____ Self: ____ 360° avg: ____	
Interventions and Ed Services	Works closely with teachers to ensure that students receive appropriate referrals for additional services. Helps put programs in place to ensure that Special Ed, ELL, and Read 180 students are held to rigorous academic expectations and receive the support necessary to reach their full potential. Works closely with teachers, the Education Team, and the Ed Services team to meet the unique needs of every student.	Manager: ____ Self: ____ 360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Community Leadership

	Meets Expectations	Eval scores	Comments
Mission, vision and expectations	<p>Deeply understands, embraces, and consistently acts in ways that are aligned with the Green Dot mission and vision. Communicates Green Dot’s mission and high expectations effectively, and fosters a commitment to the mission among all stakeholders. Continuously works to improve Green Dot expectations for personal and team performance. With principal, creates and executes timely, robust, and flexible action plans that respond to school data and align with the school’s mission.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	
Customer service	<p>Consistently responds to parents, student and staff requests in a timely and appropriate manner. Deeply understands the needs of different stakeholders and develops trusting relationships with key constituencies. Helps to establish systems and protocols for garnering ongoing feedback from students, parents and teachers. Uses feedback as a guide, proactively and creatively finding ways to increase stakeholder satisfaction.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	
Positive school culture	<p>Promotes a feeling of community on campus. With principal, creates a school culture that rewards and celebrates the achievements of all stakeholders in a variety of ways (public acknowledgement, letters of commendation, etc.). Reinforces principal’s communication of aggressive school-wide goals that motivate and inspire all stakeholders. Supports an environment in which diversity is cherished and in which all stakeholders take pride in individual accomplishments, both academic and non-academic. Helps maintain high morale throughout the year. Provides students with opportunities to develop as leaders and citizens, including a variety of extracurricular activities.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	
Personal development	<p>Sets the highest standards for his/herself as a leader. Develops an evidence-based understanding of strengths and opportunities to improve skills. Actively seeks to develop new leadership skills and to learn from other GD leaders, including principal and cluster director. Demonstrates openness to coaching and feedback from all stakeholders.</p>	<p>Manager: ____</p> <p>Self: ____</p> <p>360° avg: ____</p>	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

People Management

	Meets Expectations	Eval scores	Comments
Students	Develops strong individual relationships with students in order to help them reach their full potential. Works as a team with principal to establish a Code of Conduct and disciplinary processes that are progressive, consistent and fair. Maintains a focus on positive reinforcement and appropriate consequences for misconduct. Leads teachers, parents, and students to implement processes fairly and consistently.	Manager: ____ Self: ____ 360° avg: ____	
	Assists in recruitment and hiring of outstanding staff – especially teachers – who are dedicated to excellence and GD’s mission. Empowers staff to make thoughtful decisions in their area(s) of expertise. Delegates and collaborates as a way to train and motivate new leaders. Inspires staff – both certificated and classified – to strive for their full potential and to take initiative to improve the school. With principal, builds a highly cohesive team in which teachers and other staff work together to improve instruction and service to students. Encourages collaboration, reflection, respectful challenge, and thoughtful exchange.	Manager: ____ Self: ____ 360° avg: ____	
Staff empowerment			
Staff accountability	Creates a culture of accountability by helping to establish and communicate ambitious and realistic SMART goals for the school and tracking progress. Assists principal in formal evaluations of teachers and staff, setting high standards of professional conduct and student achievement. Provides ongoing informal feedback that is linked to professional and school goals and that includes actionable recommendations for growth. Exercises good judgment in how to hold staff accountable for actions and results.	Manager: ____ Self: ____ 360° avg: ____	
Communications	Oral and written communications are clear, concise, thorough and timely. Actively listens to staff and principal concerns and encourages solution-focused dialogue. Models effective two-way communication. Communicates clear and compelling performance goals for all stakeholders. Cultivates a culture of open communication and accountability for all stakeholders.	Manager: ____ Self: ____ 360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

School Operations

	Meets Expectations	Eval scores	Comments
Financial management	Assists principal in balancing the budget and managing expenses responsibly. Finds creative ways to accomplish “more with less.” Helps to reinforce a culture of financial accountability among staff, and works well with F&A staff to monitor expenses.	Manager: ____	
	Assists principal with efforts to maximize ADA and student revenue. Makes concerted effort to ensure that the use of financial resources is aligned with educational goals.	Self: ____	
School environment		360° avg: ____	
	Supports creation of a safe, secure, and clean school environment that is compliant with all relevant laws and regulations. Helps maximize student safety by working with Security staff to address potential problems and track incidents. Actively identifies maintenance issues and uses work orders effectively to keep the school well-maintained and clean. Nurtures a culture that maintaining a clean and secure facility is the responsibility of everyone.	Manager: ____	
		Self: ____	
		360° avg: ____	
Planning		Manager: ____	
	Helps principal create processes to achieve high performance in an entrepreneurial environment. Anticipates obstacles and works with principal in short- and long-term planning to minimize crises – academic, financial, and operational. Works with principal to develop and communicate an ambitious, big-picture vision for what the school can become. Actively works to engage all stakeholders in strategic planning, inspiring them to unite around the vision.	Self: ____	
		360° avg: ____	
Problem solving		Manager: ____	
	Takes a creative and entrepreneurial approach to solving problems of all kinds. Resolves conflict fairly and consistently. Earns the trust of all stakeholders and maintains a sense of calm and control, even in times of crisis. Actively seeks out appropriate outside help. Seeks out contrary opinions. Takes responsibility for mistakes and acts quickly to take corrective action. Sets clear priorities for self and others, and manages staff time extremely effectively. Assists in development of clear and effective systems, processes, and policies. Conducts efficient meetings , and manages staff time effectively to address school goals.	Self: ____	
		360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

External Relations

	Meets Expectations	Eval scores	Comments
Parents	Supports a culture of active parent involvement in the school and accountability for their children’s behavior and performance. Develops trusting relationships with parents and uses a variety of means to communicate with parents about school policies and activities. Helps implement effective systems for parent accountability around service hours and student behavior. Actively seeks out parent feedback, both formally and informally, and uses parent input to improve service to students.	Manager: ____ Self: ____ 360° avg: ____	
	Assists principal in development of strong working relationships with local businesses, churches, and community groups. Nurtures the school’s reputation in the community. Actively seeks to understand the needs of the local community and tailors programs to the needs of students. Works with community partners (police, neighborhood councils, etc.) to maintain a safe and secure environment.	Manager: ____ _____ Self: ____ _____ 360° avg: ____	
Community partners			
Home office	Develops strong working relationships with home office staff, focused on cooperative problem-solving. Communicates school’s needs and concerns effectively. Demonstrates a willingness to share best practices with other schools and to learn from others’ best practices. Demonstrates persistence and patience as new home office systems and processes are put in place. Meets reporting deadlines. Responds to home-office requests and deadlines in a timely manner.	Manager: ____ _____ Self: ____ _____ 360° avg: ____	
Student recruitment & retention	Helps establish effective processes to recruit new students and maintain an active wait list of at least 20% of enrollment. Develops strong relationships with educators at local middle schools in order to identify potential students. Helps to plan recruitment events that draw large crowds from the target community and that inspire families to apply for admission. Uses feedback to improve student satisfaction and understand student needs. Helps maintain high levels of student retention.	Manager: ____ Self: ____ 360° avg: ____	

Key to performance levels: 4 = Exceeds expectations, 3 = Meets expectations, 2 = Below expectations, 1 = Unacceptable

Appendix K: Annual individual goal setting and professional development planning (The Broad Foundation)

2009 Performance Review Process

START OF YEAR

Staff Member:	
Signature:	
Supervisor:	
Signature:	
Date:	

(Signatures to be completed only at the time of final submission to HR manager.)

**Start of Year Document #1:
INDIVIDUAL PERFORMANCE OBJECTIVES
Template**

2009 Priority Objectives
INVESTMENT
<p>Organizational or Team objective: Text here from annual operating plan My contribution: • Text here</p> <p>Organizational or Team objective: Text here from annual operating plan My contribution: • Text here</p> <p style="text-align: right;">Priority Ranking: _____</p>
ACHIEVEMENT
<p>Organizational or Team objective: Text here from annual operating plan My contribution: • Text here</p> <p>Organizational or Team objective: Text here from annual operating plan My contribution: • Text here</p> <p style="text-align: right;">Priority Ranking: _____</p>
KNOWLEDGE & INNOVATION
<p>Organizational or Team objective: Text here from annual operating plan My contribution: • Text here</p> <p>Organizational or Team objective: Text here from annual operating plan My contribution: • Text here</p> <p style="text-align: right;">Priority Ranking : _____</p>
GROWTH & SUSTAINABILITY
<p>Organizational or Team objective: Text here from annual operating plan My contribution: • Text here</p> <p>Organizational or Team objective: Text here from annual operating plan My contribution: • Text here</p> <p style="text-align: right;">Priority Ranking : _____</p>

**START OF YEAR DOCUMENT #1:
INDIVIDUAL PERFORMANCE OBJECTIVES
Sample**

Name: Martha Stewart, Asst. Director, The Broad Prize

Supervisor: Bob Jones, Sr. Director

TBF 2008 Goals	My 2008 Priority Objectives
Investment Focus	<p>TBF Goal from Operating Plan:</p> <ul style="list-style-type: none"> • Deliver the best Broad Prize ever. <p>My Contribution:</p> <ul style="list-style-type: none"> • I will ensure that the Review Board and Selection Jury meetings and materials are comprehensive, high-quality and on-time (see TSM for timeline). • I will ensure that our site visit protocol and process, particularly the collection, analysis and use of evidence is 2x as effective as last year. • I will manage an internal team (Research and Evaluation, communications, core) and external consultants (MPR, SchoolWorks, events management firm) to ensure a successful national event. • I will ensure that the District Data Reports dissemination process and website enable easier comparisons vs. 2007.
Hit Investment Targets	<p><i>Example for Grant Owner:</i></p> <p>Team Goal: \$2 million</p> <p>My Contribution:</p> <ul style="list-style-type: none"> • I will make a two-year investment recommendation for a quantitative vendor by September 15. (\$1.5 million). • I will make a two-year investment recommendation for a quantitative vendor by November 15 (\$500,000). • Stretch Goal: I will attempt to write an investment recommendation that extends the TBP qualitative framework to other districts (approx \$250,000). <p><i>Example for Non-Grant Owner:</i></p> <p>Team Goal: \$2 million</p> <p>My Contribution:</p> <ul style="list-style-type: none"> • I will ensure that over 80% of our grant payments to MPR and SchoolWorks this year are disbursed per their Exhibit 5 timeline.
Outperform Performance Results	<p><i>Example for Grant Owner:</i></p> <p>Academic Performance:</p> <ul style="list-style-type: none"> • Not applicable for TBP.

	<p>Other Key Performance Metrics:</p> <ul style="list-style-type: none"> • TBP dashboard (MPR and SchoolWorks) will meet over 75% of metrics. <p><i>Example for Non-Grant Owner:</i></p> <p>Academic Performance:</p> <ul style="list-style-type: none"> • Not applicable for TBP. <p>Other Key Performance Metrics:</p> <ul style="list-style-type: none"> • I will ensure that we have 100% of the data necessary to complete the End of Year dashboard for MPR and SchoolWorks.
<p>Build the Organization for Impact.</p>	<p>TBF Goal from Operating Plan:</p> <ul style="list-style-type: none"> • Build TBF’s brand to maximize the impact of TBF and its grantees. <p>My Contribution:</p> <ul style="list-style-type: none"> • I will work with the communications team to assist in the execution of the TBP media and showcasing plan of action (2Q – 4Q). • I will work with the communications team to upgrade the District Data Report Card portion of the TBP website (4Q).

Start of Year Document #2:
PROFESSIONAL DEVELOPMENT PLAN

Instructions

Complete the attached Professional Development Plan template or use an alternative format. The plan should be no longer than 2 pages.

Column A (Priority Skill Development Area)

- If you have been in your current role with TBF for more than one year, determine any development areas based on your End of Year performance discussions with your supervisor and/or other self-identified areas you would like to focus on this year.
- If this is your first year at TBF or your first year in your current role/current title, refer to the Professional Development Tools document that outlines the HR task force competencies (for your position) as a guide to selecting two priority skill development areas to work on this year. You may also want to consult with your supervisor for additional direction.

Column B (Goals)

- For each skill development area, state at least one SMART goal (Specific, Measurable, Actionable, Results-oriented and Time-based).

Column C (Action Steps)

- For each skill development area, state the commitments to action you will make in 2009 to obtain professional development through Education, Exposure and Experience.
- It is recommended that you state no more than two action steps each for Education, Exposure and Experience.
 - Education examples: Courses (on-line and in-person), selected readings.
 - Exposure examples: Feedback, shadowing, coaching/mentoring, opportunities such as conferences, panels, grantee visits, etc.
 - Experience examples: On-the-job challenges, job changes/rotations, providing NMA to grantees, special projects and “stretch” assignments.

Column D (Resources Required)

- For each action step that requires monetary resources, estimate the cost.
- For each action step that requires time and effort resources, estimate the time required and who needs to be involved (self, supervisor, grantee, etc.).

Column E (Measuring Progress)

- For each skill development area, articulate how you and your supervisor will measure your progress over the course of the year.

**Start of Year Document #2:
PROFESSIONAL DEVELOPMENT PLAN
Template**

A Priority Skill Development Area	B Goals	C Action Steps	D Resources	E Measure of Progress
1 st Skill Area	1 st Goal:	EDUCATION: EXPERIENCE: EXPOSURE:		
	2 nd Goal:	EDUCATION: EXPERIENCE: EXPOSURE:		
2 ND Skill Area	1 st Goal:	EDUCATION: EXPERIENCE: EXPOSURE:		
	2 nd Goal:	EDUCATION: EXPERIENCE: EXPOSURE:		

**Start of year Document #3:
12/24 MONTHS FROM NOW**

Please articulate where you would like to be professionally 12 months (January 2010) and 24 months from now (January 2011).

By January 2010, I would like to:

By January 2011, I would like to:

Appendix L: Tools and guidelines for 360-degree feedback (Green Dot)

360° Feedback – Sample Specs for Online Tool

1. Survey design

- a. 4-point scale with “N/A” option
- b. 12-17 numerical questions per employee
- c. 8-10 open-ended questions per employee, with text prompts
- d. General template with potential addition of customized questions for individual employees
- e. ~50 employees at the home office, plus 36 school administrators
- f. 3-20 respondents per employee
- g. Categorized responses – self, peers, direct reports, customers, others

2. Distribution

- a. Email addresses
- b. Possible for managers to input email addresses directly?
- c. Reminder function?
- d. Staged distribution? (e.g., employee gets results before filling out self-assessment?)

3. Analysis

- a. Automatic charts for numerical Q's
- b. Summary of text comments (with attribution)
- c. Customizable?

4. Distribution of results

- a. Automatic distribution to manager, employee, and HR?

360° Feedback – Sample Spreadsheet Comparing Potential Vendors

Company Name	Cost for 100 employees			Customizability				Automation			
	Set-up	Annual	3-year	Scale	Prompts	Staging	Content for each employee	List of evaluatees	Reminders	Online demo	Link to HRIS
Vendor 1	\$0	\$6,056	\$18,168	yes	yes	maybe	maybe	yes	?	yes	?
Vendor 2	\$6,000	\$3,340	\$16,020	yes	yes	yes	yes	yes	yes	yes	?
Vendor 3	\$0	\$16,000	\$48,000	yes	yes	no	no	no	yes	yes	yes

Appendix M: Sample training agenda and materials (Green Dot)

**Agenda for Managers' Training Session
on the New Evaluation Process
1.5 hours total**

Activity	Time	Format
1. Group discussion – “The Worst Evaluation Process”	10 min	full group
2. Group discussion – “The Perfect Evaluation Process”	10 min	full group
3. Overview of the new evaluation process	15 min	PK/VC
-General principles and approach		
-Career Path		
-Annual evaluation process		
-Changes to bonus system		
-New evaluation tool		
4. Breakout with new tool		
-Self-assessment	10 min	individuals
-Small group discussion	10 min	groups of 3-4
-Report back to the full group	5 min	full group
5. Using the tool		
-Completing an evaluation for Employee X	10 min	Individuals
-Evaluation meeting with Employee X – role play	10 min	Pairs
-Chart insights	5 min	Full group
7. Wrap-up and next steps	5 min	PK/VC

Overview. The goal of this training module is to introduce a new performance evaluation process to home-office managers who will be conducting reviews of their direct reports. Specifically, objectives include:

- a. Demystify the performance evaluation process and minimize any anxiety that managers and employees feel
- b. Ensure that managers understand that the main goals of the process are to provide their direct reports with clear performance expectations and identify opportunities for professional growth
- c. Give staff an opportunity to think about the elements of an effective evaluation process, including what it means to give feedback in a 360-degree process.
- d. Provide them with a familiarity with the logistics and timeline of the new process
- e. Introduce the home office Career Path and new incentive pay program

The training can be modified for frontline employees by deleting the final module, a role-play activity specifically designed for managers.

Trainers. The session has been designed to be led by two trainers, ideally a manager from the Human Resources department, plus one other manager or consultant.

Supplies needed. The following supplies are required:

1. Two easels with poster paper (or space on the wall for poster paper)
2. At least two markers
3. Projector and screen for PowerPoint presentation
4. Laptop with PowerPoint file
5. Hard copies of new evaluation tools (MS Word documents)
6. Role-playing hand-outs

Script and guidelines for Module 1, “The Worst Evaluation Process.” As a way of breaking the ice, this module is designed to elicit all the possible things that can go wrong during employee evaluations. The module requires each of the facilitators to have access to poster paper, either on an easel or the wall, as well as at least one marker.

Once the participants are seated and listening, ask the group to brainstorm what the “worst imaginable evaluation process” would look like. What are all the things that can go wrong? Encourage the group to throw out any and all ideas, and the facilitators should chart all comments. Let them have fun with it.

If the group gets stuck, feel free to use any of the following prompts:

- Does the manager set clear performance expectations?
- Are there any surprises in the review?
- Does the manager rely on his or her gut feeling?
- What happens in 360-degree feedback?
- How does the manager present suggestions for improvement?
- How does the employee respond to feedback?
- Is there ongoing dialogue, or is it a once-a-year conversation?
- Does the employee know it’s coming?
- Does it happen on a regular schedule/timeline?

- Is the 360-degree feedback anonymous?
- Is there any retaliation, emotional or otherwise?

Script and guidelines for Module 2, “The Perfect Evaluation Process.” After the group has finished describing the “worst” process, tear the poster paper down, crumple it up, and throw it in the trash can. And then start again: Ask them to describe all the elements of the perfect evaluation process. What does it look like when it’s working well?

As before, don’t be afraid to prompt them, if they don’t address any of the following areas:

- Does the manager set clear performance expectations?
- Are there any surprises in the review?
- Does the manager rely on his or her gut feeling?
- What happens in 360-degree feedback?
- How does the manager present suggestions for improvement?
- How does the employee respond to feedback?
- Is there ongoing dialogue, or is it a once-a-year conversation?
- Does the employee know it’s coming?
- Does it happen on a regular schedule/timeline?
- Is the 360-degree feedback anonymous?
- Is there any retaliation, emotional or otherwise?

Script and guidelines for Module 3, “Overview of the New Evaluation Process.” This is the lecture portion of the session. Please follow the attached PowerPoint document, “Introduction to the New Performance Management Process.” Review the agenda at the beginning, and assure the participants that they will have the opportunity to ask questions at the end.

For groups that have seen most of this material before, we estimate 10 minutes for the presentation. For groups who are completely unfamiliar with the new process and tools, we estimate 20 minutes, with an additional 10 minutes for questions.

Script and guidelines for Module 4, “Breakout with the New Tool.” Go back to page 16 of the PowerPoint document. Review the categories of performance expectations for home office employees, and then hand out the new evaluation tools (MS Word documents).

For the next 10 minutes, each participant will work quietly with the evaluation tool for their level. They will rate themselves in each of the categories.

After 10 minutes have passed, ask everyone to count off so that there are groups of 3-4 participants. Each small group will discuss the performance expectations, and try to answer the following questions:

- What were the hardest sections? The easiest?
- What does each participant perceive to be his/her strengths? Opportunities to improve?
- How will employees respond to this process?

After 10 minutes of discussions small groups, ask one member of each group to summarize their conversation for the full group.

Script and guidelines for Module 5, “Practicing with the Tool.” This module is a simple role play designed to prepare managers for some of the problems they may face during face-to-face evaluation meetings with different types of employees.

Have everyone in the group find a partner. Distribute the role-play guidelines. For the Round #1, one participant will play the “Manager” and the other will play the “Employee.” For Round #2, the roles will be reversed.

The scenarios are meant to be exaggerated versions of real scenarios that managers may face:

- 1. Round #1:** A manager tries to give constructive feedback to an overachiever, someone who has never received negative feedback before and who becomes very defensive, even though their review is mostly positive.
- 2. Round #2:** A manager gives a “Below Expectations” review to an employee who does not think that there are any consequences and that all of the criticism is just sour-grapes from those around him.

Before each round, each participant should spend a couple of minutes reviewing the details of their “character.” After 10 minutes of role-playing for each round, chart some insights from each scenario – What strategies seem to work well with a defensive employee? What strategies seem to work well with an underperformer who doesn’t think there are any consequences?

Wrapping up. Thank everyone for their participation. Emphasize once again that this is a new process, and we appreciate their efforts to help us make it go as smoothly as possible. We will certainly be refining it over the next year, so be sure to keep us in the loop and let us know how we can make the process work more effectively next year.

Guide for Role Play Activity

Round #1 – Manager

Jane/Joe is one of the best employees in your department. He/she works extremely hard and is extremely detail oriented. This is his/her first job out of college, and you're really proud of your decision to hire him/her.

You start the review by telling Jane/Joe that he/she is in the “meets expectations” category and will qualify for a bonus of 6% of salary.

In reviewing his/her strengths, you emphasize the following:

- Jane/Joe is extraordinarily responsive to schools and shows a strong commitment to Green Dot's mission. He/she often goes “above and beyond” the call-of-duty in order to solve a problem for a school administrator or office manager.
- In the short time since he/she was hired, Jane/Joe has proven to be extremely proficient with all the standard software packages and other tools necessary to do the job. He/she even sought out a colleague to learn more about one particular area where he/she lacked some critical knowledge.
- He/she has been extremely proactive about taking on new responsibilities. He/she even made contributions to the department's strategic plan, even though he/she had only joined the company a few months earlier.

And then you move on to Jane/Joe's opportunities for professional development:

- He/she needs to think ahead and try to standardize some work processes, so that things go more smoothly and efficiently in the future. Powering through can work in the short term, but the organization needs to do a better job of documenting and standardizing work processes.
- He/she could also do a better job of delegating. Jane/Joe has a tendency to rely on his/her own ability to produce very high quality work in a short period of time, instead of sharing responsibility with others and building others' capacity.
- In terms of communication skills, Jane/Joe could improve by focusing more on the “big picture” and not diving right into the details of a given project.

Guide for Role Play Activity

Round #1 - Employee

You are an overachiever, someone who has excelled at everything you've ever done. You always got straight A's in school. This is your first job, and you've never been formally reviewed before. So you're very nervous and apprehensive.

At the first sign that you're not getting a perfect review, you start to freak out. You grow more and more defensive as the review goes on and it becomes clear that – despite all the nice things your manager is saying – he/she doesn't really mean it, since he keeps bringing up all these ways you can improve.

Sample questions/reactions:

- A “three”? Isn't that “meeting expectations”? I'm only “meeting expectations”? That sounds like the equivalent of getting a “C” in a class.
- I'm not getting my full bonus? How can that be?
- I don't understand – What am I doing wrong?
- I thought I was doing *well*.
- But I worked until 10 p.m. three times last month!
- What about XXXXX? His/her performance is way worse than mine...I work way more than he/she does. What rating did he/she get?
- So I'm not ever going to get promoted?

Guide for Role Play Activity

Round #2 - Manager

Roy/Rhonda is one of your problem employees. While he/she hasn't done anything horribly wrong to be dismissed, he/she just doesn't perform very well and also seems to have a bit of an attitude problem. He/she definitely hasn't bought into the Green Dot culture.

You start the review telling Roy/Rhonda that they are in the "Below Expectations" category and that their bonus will be around 2% of their salary. This means that he/she will probably not be with the company long-term, unless significant improvement occurs. But you do believe that he/she has the ability to do the job, if he/she makes the commitment to changing.

Then you describe the areas where he/she has shown strong performance:

- Roy/Rhonda clearly has the technical know-how to get the job done. In fact, this job doesn't require quite as much Roy/Rhonda's last job. It's not clear that we're using all of his/her skills and knowledge.
- Roy/Rhonda has shown the ability to be extremely responsive, when he/she feels like it. There's was one time in particular when Roy/Rhonda showed persistence in solving a problem for a school administrator with whom Roy/Rhonda has a good relationship.

And then you go into his/her opportunities for improvement/development:

- Roy/Rhonda is not typically very responsive to the schools. He doesn't always call them back right away, and problems seem to fester, rather than being resolved quickly. (But there was the exception mentioned above.)
- Roy/Rhonda tends to complain about school principals and office managers behind their backs. He doesn't understand why they can't be more helpful/cooperative when he calls. He does this openly, in front of other home office staff.
- Roy/Rhonda has not shown a desire to seek out professional development or to improve in his/her job.

Guide for Role Play Activity

Round #2 - Employee

You're just collecting a paycheck at Green Dot. This is "just a job" for you, and you're really not looking to advance. In fact, you're a little puzzled about why everybody seems to take everything so seriously around here.

You took this job after your last company went out of business, and you had to take a pay cut to work at Green Dot. So it's not like you owe the company anything. So what if you're late once a week? And so what if you leave at 5 p.m. on the dot?

It's not like anybody really gets fired at the home office. And you do good work. Everybody knows that. So this whole review process is sort of a pain-in-the-neck. Just want to get through it and get back to the grind.

Sample questions/reactions:

- Okay, a "two". That's lower than I expected, but there's not much I can say.
- Oh, c'mon. That's not right – Only a 2% bonus? That's ridiculous.
- There are a lot of people worse than me in the office.
- This process is a joke...Nobody really cares about these scores.
- Everybody resents me...That's why they gave me those scores.
- Okay, whatever, I'm going back to work. It's not like you're going to fire me.
- You want me to set goals? Like, be home watching *Jeopardy* by 6 p.m. every night?
- Those people at the schools have no idea what my job is like. They always act like I'm just pestering them. They're so full of themselves.
- This company is a mess...Nobody knows what the heck they're doing. It's not my fault if things don't go right.