



STATE OF WISCONSIN
Department of Employee Trust Funds
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SECRETARY

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CORRESPONDENCE MEMORANDUM

DATE: February 20, 2012

TO: Executive Committee
Employee Trust Funds (ETF) Board

FROM: Pam Henning, Administrator
Division of Management Services

SUBJECT: Steps/Timelines for the ETF Secretary's Evaluation Process and
Managerial Survey

Background

In December 2008, the ETF Board (Board) approved a performance evaluation form to assist in evaluating the Secretary in June of each year. The Board also approved the use of a managerial survey as a helpful tool to provide additional information to consider as members evaluated the Secretary's performance. The survey questions are aligned with the categories on the performance evaluation form and cover management of operations, member/employer services, external relations, leadership, and staff development. The Board utilizes both of these documents in its yearly evaluation of the ETF Secretary.

Evaluation Changes

At the June 23, 2011, meeting, the Board did not suggest any further changes to the performance evaluation form or survey for the June 2012 evaluation.

Response Rates

The managers' survey response rate in 2011 was 93.6%. This was an improvement from the prior year's response rate of 92.3%. Again this year, the survey cover letter to managers will indicate the Board would like 100% participation.

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

Attachments: A. 2012 Steps/Timeline
B. Managerial Survey
C. Secretary's Annual Performance Review

Board	Mtg Date	Item #
EXC	3.7.12	4B
ETF	3.8.12	4A1

Proposed Steps/Timelines
ETF Secretary Evaluation Process and Managerial Survey
March 8, 2012

Month	Steps (ETF Executive Committee/Board Actions in Yellow)	Responsibility
March	<p>Review managerial survey.</p> <p>Finalize survey with input from Board and distribute electronic survey to managers by 3/26.</p>	<p>Board</p> <p>DMS Administrator</p>
April	<p>Compile managerial survey results and prepare summary for HR Director; review by 4/23.</p> <p>Distribute draft managerial survey report to Executive Committee for review/comments by 4/30.</p>	<p>Survey staff/HR Director</p> <p>HR Director/Executive Committee</p>
May	<p>Incorporate Executive Committee comments and finalize the managerial survey report by 5/7.</p> <p>Distribute final managerial survey report and Secretary performance evaluation template to Board by 5/18. Include Secretary's annual accomplishments and his/her response to overall performance expectations for the fiscal year.</p> <p>Return completed Secretary performance evaluation forms to HR Director by 6/1.</p>	<p>HR Director/Executive Committee</p> <p>HR Director</p> <p>Board</p>
June	<p>Compile and summarize the Board's evaluation results and send results to the Executive Committee by 6/8 for review and comments.</p> <p>Executive Committee meets or conducts a conference call to discuss results of the Board evaluations by 6/15.</p> <p>Distribute performance evaluation results to Executive Committee and Board prior to the June Board meeting by mail or e-mail.</p> <p>Board conducts a performance evaluation review of the Secretary at the June 21 meeting.</p>	<p>HR Director</p> <p>HR Director/Executive Committee</p> <p>HR Director</p> <p>Board</p>

Managers' Survey of ETF Secretary

1. ETF Secretary's Agency Oversight and Administration

1. Management of Operations

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

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

2. Member/Employer Services

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

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

Managers' Survey of ETF Secretary

3. External Relations

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

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

4. Staff Development

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

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

Managers' Survey of ETF Secretary

5. Leadership

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

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

Secretary's Annual Performance Review

January 2012 – June 2012

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

Directions:

Each Board member should rate the Secretary's annual performance by placing an "X" next to the appropriate rating for each performance criteria by June 1 of each year. Individual evaluations will be collected by the ETF Human Resources Director and compiled into a final performance evaluation summary for review by the Executive Committee. Each Board member may provide remarks in the "Comments" box below each section.

Performance Criteria	Weight
Board Relations	25%
Management of Operations	10%
Member/Employer Services	10%
External Relations	20%
Leadership	25%
Staff Development	10%
Total	100%

Board Relations (25%)

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

Superior <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Accomplished <input type="checkbox"/>	Developing <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>
Consistently strives to maintain a good working relationship with Board and to provide Board members with tools necessary for them to carry out their responsibilities.		Communicates in a satisfactory manner. Keeps Board members adequately informed of issues and activities.		Communication is lacking. Board members not sufficiently informed of issues and activities.

Comments:

Management of Operations (10%)

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

Superior <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Accomplished <input type="checkbox"/>	Developing <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>
<p>Demonstrates the ability to manage daily operations efficiently and consistently. Utilizes sound management practices and technology to further the Department's mission. Ensures full audit compliance.</p>		<p>Manages organization sufficiently to carry out basic mission of the Department. Delegates appropriately. Attempts full audit compliance.</p>		<p>Manages operations and resources inconsistently. Does not fully utilize management team. Requires more focus on audit compliance.</p>

Comments:

Member/Employer Service (10%)

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

Superior <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Accomplished <input type="checkbox"/>	Developing <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>
Consistently works in the best interest of membership. Responds to members and employers in a prompt and professional manner. Fosters good communication between groups.		Provides members and employers with adequate information. Responds to concerns within an acceptable timeframe and in a professional manner. Allows for open communication between groups.		Fails to keep members and employers informed. Does not respond to concerns in a timely and/or professional manner.

Comments:

External Relations (20%)

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

Superior <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Accomplished <input type="checkbox"/>	Developing <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>
<p>Excels at communicating with external parties. Maintains awareness of outside influences. Takes steps necessary to preserve the integrity of the Department and benefit programs.</p>		<p>Communicates with external parties in a satisfactory manner. Able to effectively develop legislative strategies and respond to legislative initiatives.</p>		<p>Communication with external parties is lacking. Does not take initiative in pursuing legislative agenda.</p>

Comments:

Leadership (25%)

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

Superior <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Accomplished <input type="checkbox"/>	Developing <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>
Demonstrates the highest degree of leadership by effectively planning for the future, keeping current in the benefits field and providing a stable and effective work environment.		Leads the organization in a satisfactory manner. Keeps staff informed of activities and projects a positive image of the Department.		Fails to adequately plan for future activities. Does not provide adequate guidance to employees.

Comments:

Staff Development (10%)

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

Superior <input type="checkbox"/>	Exceeds Expectations <input type="checkbox"/>	Accomplished <input type="checkbox"/>	Developing <input type="checkbox"/>	Needs Improvement <input type="checkbox"/>
Recognizes importance of trained staff and maintaining employee satisfaction. Ensures staff confidence by responding to concerns and seeking input from all levels.		Encourages input from employees. Provides training opportunities when possible.		Lack of action results in poor morale and productivity. Does not provide incentive for staff development.

Comments:

Achievements:

Areas Needing Improvements:

Goals for the Coming Year:

The Secretary's signature on this form does not necessarily indicate agreement with its content. His signature only indicates that he has read it and has had the opportunity to discuss this evaluation with the ETF Board.

Executive Committee Chair

Date

ETF Secretary

Date