Agenda

The process is a resource to help measure and improve performance.

- The Performance Management Process & Form
- Performance Planning
- Integrating Core Values into Performance Management
- Performance Coaching
- Performance Review
- Performance Management Process at Lafayette
Performance Management Training Objectives

- To Clarify the Value of Managing Performance at the College
- To Review the Performance Management Process, Forms and Terms
- To Ensure a Clear Understanding of Roles and Responsibilities in the Performance Management Process.
Introduction
A New Approach to Performance Management

Why?

- Inconsistent Application
- Lack of Developmental Focus
- Inflexible
- Unclear Alignment with Business Priorities
- No Clear Linkage to Other HR Processes (e.g., Coaching)
Goals of Performance Management

- An Ongoing, Two-Way Communication Process
- A Clarification of Expectations
- A Sincere Discussion of Opportunities for Skill Development
- A Way to Focus on Behavior That Will Have the Most Impact on Organizational Results
- The Fostering of Improved Performance in the Current Job
- Working Smarter… Not Harder
Lafayette’s Goals for PM

- Enhance Performance in the Competitive College Environment
- Link Individual Employee Behavior with the College’s Strategy
- Create a Balance Between Process and Outcomes (Competencies + Job Requirements/Goals)
- Formalize Employee Development and Developmental Planning
- Maximize Current Talent at the College
# A Change in Focus

<table>
<thead>
<tr>
<th>Performance Appraisal</th>
<th>Performance Management</th>
</tr>
</thead>
<tbody>
<tr>
<td>Tends to emphasize either results or traits</td>
<td>Includes both results and behavioral skills equally</td>
</tr>
<tr>
<td>Traits are subjectively identified after the fact or ignored completely</td>
<td>Behavioral skills expectations are linked to results and objectively established in advance</td>
</tr>
<tr>
<td>Is a human resource department procedure</td>
<td>Is a line management process</td>
</tr>
<tr>
<td>Threatening</td>
<td>Motivating</td>
</tr>
</tbody>
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The table above highlights the shift from traditional performance appraisal to performance management. Performance appraisal tends to emphasize either results or traits, with traits being subjectively identified after the fact or ignored completely. This process is often seen as threatening. In contrast, performance management includes both results and behavioral skills equally, with behavioral skills expectations being linked to results and objectively established in advance. This approach is more motivating and aligns with line management processes.
## A Change in Focus

<table>
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<td>Focus is on judging after the fact</td>
<td>Focus is on planning and managing</td>
</tr>
<tr>
<td>Emphasizes the form</td>
<td>Emphasizes the process</td>
</tr>
<tr>
<td>Fault-finding</td>
<td>Problem solving</td>
</tr>
<tr>
<td>Evaluation factors are subjectively identified</td>
<td>Performance expectations are linked to the business plan</td>
</tr>
<tr>
<td>Win-Lose</td>
<td>Win-Win</td>
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Principles of Performance Management

The Guiding Principles

- Creating a “Win-Win” Environment
  - Mutual understanding and clarity of expectations at the outset
  - Proactive employee participation throughout all phases of the process
  - Balanced and constructive feedback to facilitate employee development
  - Shared ownership and commitment to success: employees and managers
  - Focus maximizing contribution in current role
The Challenge to Performance Management

- Focus on Management Processes That Build a Motivating Climate
- Reduce Reliance on Forms and Procedures
- Emphasize Management Skills and Continuous Process
- Promote Self-Management In Achieving Total Quality and Customer Service
- Use Flexible, Frequently Updated Planning and Regular Feedback
- Recognize and Provide Rewards That Count
The Value of Performance Management

Is Not:

- The Form
- Administrative
- Writing Perfect Objectives
The Value of Performance Management

Is:

- The Process
- Clarifying Expectations
- Providing Feedback
- Motivating People to Excel

How is this done?
The Performance Management Process
The Performance Management Model

Performance Planning Phase I

Performance Coaching Phase II

Performance Review Phase III
Two Parts to the Puzzle

Roles in Performance Management

The Manager
- Shared Accountability
- Coach and Mentor
- Clarify Business Direction
- Provide Resources
- Identify Obstacles

The Employee
- Shared Accountability
- Proactively Provide Input
- Continual Self Assessment
- Take Personal Ownership for Development
Phase I: Performance Planning

- Goal Planning
  - Clarify job requirements and annual goals
  - Link goals to larger college or departmental goals

- Competency Assessment
  - Review core values and clarify expectations
  - Provide constructive feedback to focus future behavior
Phase II:
Performance Coaching

- Informal Coaching Throughout Year
  - Confirm areas for focus
  - Provide on-going constructive feedback

- Optional Mid-year Performance Review
  - Modifications and additions to job requirements and annual goals
  - Observe progress on competencies
Phase III: Performance Review

- Formal End of Year Meeting
  - Summarize Critical Goals and Results Achieved
  - Evaluate Demonstration of Core Values
  - Establish Overall Summary Rating based on Performance Achieved throughout the Year
Performance Planning
Why Do Performance Planning?

“Once upon a time there was a work unit with four members named Everybody, Somebody, Anybody, and Nobody. There was an important job to be done, and Everybody was sure that Somebody would do it. Anybody could have done it, but Nobody did it. Somebody got angry about that because it was Everybody’s job. Everybody thought Anybody could do it, but Nobody realized that Everybody wouldn’t do it. It ended up that Everybody blamed Somebody when Nobody did what Anybody could have done.”
Performance Planning Overview

Individual Objectives

- Job Requirements/Annual Goals (What will I do?)
- Personal Development Objectives (How will I do it?)

Individual Performance Plan
Three Types of Objectives at Lafayette

- Fulfillment of Job Requirements
- Demonstration of Core Values
- Achievement of Annual Goals
Elements of Good Performance Planning

Clarify Job Requirements and Goals

- Represent *WHAT* the Employee Should Focus On
- Critical Targets and Priorities
- Linkage to Departmental Goals and College Strategy
Elements of Good Performance Planning (cont'd)

Understand Core Values

- Represent HOW the Employee Should Accomplish Critical Goals
- Knowledge, Skills and Behavior Required for Success
Planning Summary

- Defines Performance Expectations
  - Results
  - Competencies

- Links Individual Efforts to College Strategy, Vision, and Values

- Wins Employee Commitment to Achieving Expectations

- The Behavioral Link to College’s Values
The S.M.A.R.T. Objective

S

M

A

R

T
The S.M.A.R.T. Objective

S

Measurable – You Should Be Able to Monitor and Gauge Progress in Objective Terms.

A

R

T
The S.M.A.R.T. Objective

S

M

Attainable – It’s Frustrating to Have an Objective That You Don’t Have Control Over or That Can’t Be Achieved in a Reasonable Amount of Time. Be Realistic and Consider Obstacles and Resources Needed.

R

T
The S.M.A.R.T. Objective

S

M

A

R \textit{relevant} – The Objective Should Relate Directly to College Objectives.

T
The S.M.A.R.T. Objective

S

M

A

R

T ime-Based – You Should Be Able to Track Your Progress Against Specified Timeframes.
Is This a S.M.A.R.T. Objective?

- Demonstrate Teamwork and Cooperation on a Consistent Basis.
Is This a S.M.A.R.T. Objective?

- Demonstrate Teamwork and Cooperation on a Consistent Basis.

Better:

- Attend another Department’s Regular Staff Meeting at Least Four Times During the Year to Share Information and Explore Opportunities to Lend Assistance.
Roles in Negotiating Performance Expectations

**Manager**
- Information Provider
- Listener
- Challenger
- Reality Tester
- Coach

**Employee**
- Information Seeker
- Information Provider
- Reality Tester
- Innovator
Goal Planning
Meeting Agenda

1. Set the Stage
2. Jointly Agree on Job Requirements and Annual Goals
3. Identify Core Values Expectations Linked to Objectives
4. Determine How to Track Progress Towards Objectives
5. Summarize the Discussion and Offer Ongoing Support
Goal Planning
Meeting Ground Rules

- Use Employee’s Ideas
- Gain Commitment and Agreement
- Be Flexible
- Share Concerns
Exercise: Writing Goals

- Form Small Groups of 4-5
- Review Sample Goals and Determine Fit to S.M.A.R.T. Criteria
- Revise as Necessary
- Individually Practice Writing Actual Objectives
- Share in Small Groups
Integrating Core Values into Performance Management
What are Competencies?

- Characteristics of an Individual That Have Been Shown to Drive Superior Job Performance
- Behaviors That Enable an Employee to Achieve Objectives
Why Are Competencies Important?

Skills
Knowledge
Attitude
Motives
Traits

Necessary For Top Performance But Not Sufficient to Guarantee It

Personal Attributes and Behaviors That Predict Longer-Term Success
Overview of the Lafayette Core Values

- Teamwork and Cooperation
- Customer Focus
- Resource Management
Core Values are Behaviorally Defined

- **Teamwork and Cooperation:** Teamwork is working cooperatively with others. Being a member of a team means working together as opposed to working separately or competitively. At Lafayette, the expectation is for teamwork to be demonstrated not only within departments but across divisions, departments and functions.

- **Examples of “Meets Expectations” Behavior:**
  - Keeps others informed of decisions, changes, or new information that may impact them, without having to be asked
  - Proactively responds to requests for help, guidance, or support from team members
  - Acknowledges the merits of others’ perspectives and ideas, regardless of background, experience, and communication style, and takes an active role in ensuring that they are not dismissed
Three Behavioral Levels

Example: Teamwork and Cooperation

Examples of “Below Expectations” Behavior:
- Fails to take initiative to help the team
- Demonstrates lack of understanding of role in relation to the team
- Goes around an employee to their supervisor rather than trying to solve the problem first by one-to-one contact

Examples of “Meets Expectations” Behavior:
- Keeps others informed of decisions, changes, or new information that may impact them, without having to be asked
- Proactively responds to requests for help, guidance, or support from team members
- Acknowledges the merits of others’ perspectives and ideas, regardless of background, experience, and communication style, and takes an active role in ensuring that they are not dismissed
- When work is backed up, talks with others to find a solution

Examples of “Exceeds Expectations” Behavior:
- Enhances the efforts of the “team” within the office or division while also enhancing the work of the larger “team” outside of the office or division
- Helps others complete their tasks and achieve their goals without being asked; publicly credits outstanding team members
- Genuinely values others’ input and expertise; solicits ideas and opinions from others (including subordinates and peers) to help form specific decisions or plans
- Places team objectives ahead of one’s personal agenda when working within a group setting
- Offers time and/or resources to another department in order to benefit the overall organization
Exercise: Recognizing and Developing Core Values

- Review Core Value Definitions and Behaviors

- Identify Two Employees:
  - One high performer
  - One who needs development

- In Small Groups Discuss:
  - Examples of core value demonstration and how they contribute to high performance
  - Ideas for how to further develop core values
Performance Coaching
Why Is Coaching Essential to Good Performance Management?

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Coaching Summary

- Affects Individual Performance by Encouraging (or Discouraging) Specific Behaviors
- Provides a Context through Which to Guide Future Performance
- Gives Employees an Opportunity to Express Their Needs, Concerns, Expectations
- Can Enhance Employees’ Motivation and Commitment when Delivered Constructively
- Progress Review Re-Focuses Employee and Manager Efforts
- Offers the Opportunity to Make Modifications to Job Requirements/ Goals Given College Needs
Tips on Giving Feedback

Providing Positive and Corrective Feedback—Give It in “BITs”…

- Describe the Behavior
- Explain the Impact of What Was Done/Not Done
- Discuss How It Could Be Done Tomorrow
Positive Feedback

What Is It:

- Reinforcing Performance Through an Active Effort to Praise Use of Particular Skills or Actions

Examples:

- “When Your Gave Your Presentation to the Task Force …”  
  Describe

- …I Felt Proud of You and the Work We’ve Done.  
  Express

- I’d Like to See You Continue to Use Those Skills in the Work Ahead.”  
  Specify
Corrective Feedback

What Is It:
- Providing Instruction, Direction, Guidance or Encouragement as the Person Works Toward Achieving an Objective or Competency Expectation
- Ongoing—Not Just When a Person Makes Mistakes

Examples:
- “When You Ignore My Request to Get Reports in on Time…” Describe
- …I Feel Frustrated and Angry Because I Can’t Submit My Report on Time. Express
- I Need to Receive Your Reports on Time. Specify
- If You Do, It Will Satisfy Our Competency Expectation of Resource Management. Consequence+
- If You Do Not, It Will Hurt Your Performance. Consequence-
- Is There Anything I Can Do to Help?” Support
Communication Skills for Coaching

- Ask Open-Ended Questions
- Paraphrase to Check Your Understanding
- Listen
- Summarize
- Suggest Action Plans That Match the Employee’s Learning Style
Performance Review
Goals of the Performance Review

- Identify and Document Trends in Performance
- Compare Actual to Expected Performance
- Identify Key Developmental Needs for the Next Performance Period
Desired Outcomes for the Performance Review

- Mutual Understanding and Agreement of Annual Performance Evaluation Against Expectations
- Employee Is Not Surprised, and Feels Evaluated Fairly
- Employee’s Self-Esteem Is Supported
- Working Relationship Is Maintained or Improved
Preparing for the Performance Review

- Review All Performance Information/Documentation
- Compare Actual Performance to Objectives
- Identify Job Requirements/Goals That Were Met
- Identify Job Requirements/Goals That Fell Short, and Why
- Solicit Input from Others
- List Possible Future Goals and Competency Development Needs
- Prepare How to State the Feedback
- Complete Performance Management Evaluation Form
Performance Review

Agenda Steps

1. Set the Stage
2. Compare Results vs. Expectations
3. State Evaluation
4. Discuss Reasons for Successes and Problems
5. Summarize Trends and Continuous Improvement
6. Action Plan
Documentation

Elements:

- **Context** in Which the Behavior Took Place
- **Action** (or Inaction) Which Took Place
- **Outcome** of Action

Example:

- “At the November 10 Staff Meeting… *Context*
- …Bill Had Not Prepared His Presentation… *Action*
- …Which Caused a Delay in our Planning.” *Outcome*
Performance Review
Communication Tips

- Ask Employee to Rate Him/Herself
- Prepare and Deliver Feedback in B.I.T.S.
- Focus on Improving Performance vs. Blaming
- Be Directive When Necessary
- Address Job-Related Behavior, Not Character
8 Ways to Ruin a Performance Review

1. The Halo Effect
2. Stereotyping
3. The Central Tendency
4. The Recent Error
5. Length of Service Bias
6. The Initial Impression
7. Lack of Documentation
8. The Competitive Evaluator
## The Rating Scales

### Overall Summary Evaluation

<table>
<thead>
<tr>
<th>Below Expectations</th>
<th>Unsatisfactory</th>
<th>Not performing to the requirements of the job. Needs a high degree of supervision and direction. May not have background to grasp work. Must be made aware of performance deficiencies.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Needs Improvement</td>
<td>Usually performs to job requirements. Needs close supervision for complete and on time results. Could result from being new to this job.</td>
</tr>
<tr>
<td>Meets Expectations</td>
<td>Satisfactory</td>
<td>Performance is what is expected of a fully qualified and experienced person in the position. Sometimes performance exceeds expectations, but not consistently.</td>
</tr>
<tr>
<td>Exceeds Expectations</td>
<td>Good or Very Good</td>
<td>Accomplishments above expected levels. Sustained and uniformly high performance with thorough, on-time results.</td>
</tr>
<tr>
<td></td>
<td>Excellent</td>
<td>Far exceeds normal expectations. Seldom equaled in overall contribution to College’s objectives.</td>
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Administrative Requirements

- Performance Evaluation Period Shall Normally Cover April 1 - March 31
- Any Changes to Standard Template Must be Approved by Human Resources
- Performance Reviews Must be Completed and Recommendations Submitted to President’s Office by April 17
- Employee’s Signature is Required as Confirmation that the Review Took Place, Not to Imply Consent
- The Mid-Year Review is Not Formally Required but Strongly Recommended
- Goal Planning Discussions for Next Year Should Normally Occur Between May 1 and July 1
Performance Management Steps

- Employee and supervisor contemplate future goals (March-May)
- GOAL PLANNING DISCUSSION (May 1 - July 1): Employee and supervisor discuss annual goals for next Performance Management Discussion
- Supervisor forwards Goal Planning Document to HR for records (July)
- MID-YEAR DEVELOPMENTAL MEETING: Supervisor and employee discuss progress to date, making appropriate adjustments to developmental plan (Oct - Dec)
- Supervisor prepares Performance Evaluation for each employee and schedules Performance Evaluation discussion. Optionally, employees prepares Self-Performance Evaluation for discussion purposes (March - April)
- PERFORMANCE EVALUATION MEETING: Supervisor and employee discuss results of performance period and “sign off” on evaluation (March - April)
- Supervisor forwards Performance Evaluation to Department Head for Review and Approval (March - April)
- Department Head approves Performance Evaluation and forwards Salary Recommendation to President for Final Approval (by April 17)
- President approves 2000-01 salaries on or about May 1. Salary Recommendation to HR (May)
The Timeline

Performance Management Period = April 1 - March 31*

- 3/31: Completion of Evaluations/ Evaluation Discussions
- 4/17: Pres. Review
- 5/1: Evaluations Due to President
- 5/1 - 7/1: Goal Planning Discussions
- 7/1: President Submits to HR/ Payroll
- 3/31: New Salaries Effective

* If the review period for an employee differs from this schedule, the actual period reviewed should be noted on the front of the Performance Evaluation (2000) Form.