

A PERFORMANCE ENHANCING CULTURE

“Begins with the End in Mind”

‘Cheshire Puss, Would you tell me, please, which way I ought to go from here?’

‘That depends a good deal on where you want to get to,’ said the Cat.

‘I don’t much care where--’ said Alice.

‘Then it doesn’t matter which way you go,’ said the Cat.

‘--so long as I get *somewhere*,’ Alice added as an explanation.

‘Oh, you’re sure to do that,’ said the Cat, ‘if you only walk long enough.’

From Alice in Wonderland by Lewis Carroll



COURSE SUCCESS

➤ What are two expectations that you have for this course:

➤ This course will be a success if:

According to a Gallup Organization Study, involving 80,000 managers in over 400 organizations, and the book *First, Break All the Rules*, the number one answer to the question “What Do Employees Want?” was “To know what is expected of me at work.”

Goal Setting and then communicating these expectations to your employees is the basic foundation for effective performance management. It is one of the most important factors in helping people understand what they are to do and how they will be measured.

Some of the benefits from participating in this workshop are:

- It will improve your relations with your staff.
- Your staffs’ productivity will increase because of improved relations all members
- Your productivity will increase because of improved relations between you and your staff.
- It will reduce the amount of stress in your work.

This is not to suggest that your relations with your staff are poor, but if you're like most of us, you're good at some of the skills of managing, fair in most, and poor in some. Even if your skills are good, continually improving wherever possible is increasingly important.

WHAT IS A PERFORMANCE MANAGEMENT SYSTEM?

Performance management includes activities to ensure that goals are consistently being met in an effective and efficient manner.

ELEMENTS OF A PERFORMANCE MANAGEMENT SYSTEM



BENEFITS

| | |
|--|---|
| <p>Let employees know what you expect Integrate new members into your department/organization</p> <p>Help employees to continue to develop their skills</p> <p>Appropriately reward positive/exceptional performance</p> | <p>Create a culture of ownership and accountability by giving employees written goals by which to measure their performance</p> <p>Align organization and individual goals to increase corporate performance</p> <p>Clearly track and communicate individual and department performance to upper management</p> |
| <p>Recognize problems and address them appropriately (so more drastic measures don't have to be taken)</p> | <p>Determine why standards aren't being met</p> <p>Generate buy-in from employees to meet performance standards</p> |

SETTING GOALS

Goals are targets and measures used to set direction and to evaluate progress and degree of success. Goal setting is a powerful performance management process that promotes individual and work group accountability.

PURPOSE OF GOALS:

- To provide the focus for the individuals and groups efforts
- To clarify business needs
- To challenge the capability of the employees
- To provide a sense of accomplishments
- To link group and individual goals to organizational goals

FOUNDATION FOR GOALS:

- Rooted in the core organization's success factors
- Provides a realistic stretch in performance
- Emphasize a few key result areas
- Promotes continuous improvement

GOAL THINKING IN DETAIL

Goal thinking not only involves Planning the Plan and Measuring Success, you must also be prepared to write a SMART goal statement that will serve to fulfill your outcome strategy, measure your achievement, and summarize your objectives. Putting your goals in writing formalizes what will be accomplished, to what degree, by whom, and when.

DEFINITION OF A GOAL OR OBJECTIVE:

A statement of results to be achieved within a certain time and within a certain cost.

ACTION STEP:

The step-by-step approach to achieve the goal with cost and timeliness.

The Goal is the **WHAT**; the Action Steps are the **HOW**.

| | |
|---------------------------|--|
| <p>Specific</p> | <p>“What” must be accomplished? What are the major tasks, strategic projects, and/or team assignments the person is expected to accomplish? These should be the same for all persons in a specific job position.</p> <p>Each goal must be precise, clear, and unambiguous. Goals that aren’t specific are left open to interpretation. Specific goals are written in a way that’s easy to understand and they use language that is to the point!</p> |
| <p>Measurable</p> | <p>Determines if what was done successfully. What is the standard by which the performance will be measured? This may be quantity of output, cost, timeliness, and/or quality of work.</p> <p>Measurable criteria aren’t always a number; it may be an observable condition that must be met. For example a receptionist might have a goal that states: “make all visitors feel welcome when they enter the reception area”. While there is no number required it is observable.</p> <p>State what will be tracked and how. The more specific you can be the better. Use the phrase, “to be measured by...” as a means of eliminating doubt about what will be measured.</p> |
| <p>Achievable</p> | <p>Are all the skills and resources available to get it done? Are you aware of what the employee needs to be successful?</p> <p>Ensure the goal is “doable” and controllable. It’s unfair and unrealistic to expect achievement of a goal that involves elements over which you have no control. Shoot for “attainable with a stretch!”</p> |
| <p>Relevant</p> | <p>Does it reflect the priorities of the job, department, and or College? Can the goal be tied directly to a department, business unit and College goal? If not, is it important enough to include? Structure goal statements in terms of output and relate them to a specific activity, action, or behavior that generates results. Use an “action” verb, avoid describing a “state of being,” and write goals using positive rather than negative language. What is the outcome result you are trying to accomplish?</p> |
| <p>Time Framed</p> | <p>Is there a time frame to help define when or how the goal will be met? Can the job be completed in the time frame of the appraisal process?</p> <p>Spell out timelines, milestones, deadlines, and delivery dates. A well-written goal statement makes time parameters explicit. In other words, put a date on it!</p> |

PLANNING FOR SETTING GOALS AND PERFORMANCE STANDARDS

Planning involves deciding what has to be done, when it has to be done, who is going to do it, how it's going to be done, and where it will be done.

Once a goal is established and plans are made, performance standards are created to measure the success of the goal. Good performance standards make it clear what has to be done when, followed by who, how, and where. If the performance standards aren't clear, the rest of the process will probably be ineffective and wasteful.

1. What is the manager's role in planning?
2. What is the staff's role in planning?
3. Poor planning creates what type of challenges?

Once the manager and employee have agreed to the plan and have set performance standards, each has an important responsibility. The employee is accountable for his/her performance. The manager must support the desired performance with the required resources, encouragement, performance feedback and coaching, and appropriate recognition for a job well done.

1. How does the employee's participation in planning affect his/her motivation and commitment?

SUGGESTED GUIDELINES FOR MORE EFFECTIVE PLANNING

Learning to plan takes time, effort, practice, and experimentation. Following are some suggestions to make your planning efforts payoff:

| | |
|--|---|
| Take time to plan. While it takes time, it will invariably save more time on the back end. | Focus your planning and energy on those performance standards with the greatest payoff. |
| Keep it simple. Use simple, logical plans that are easy to understand and to use. | Write your performance standards so your employees will understand. |
| Keep everyone involved informed and updated. Continually monitor and update your plans. | Encourage employees to propose new performance standards and creative ideas. |
| Set intermediate target dates to measure progress toward performance standards. | Clarify individual areas of responsibility. |
| Think through and do what is necessary to help employees succeed. | Acknowledge success and celebrate when goals are achieved. |

SELECTING PERFORMANCE STANDARDS

Your performance standards may focus on people, equipment, operations, time, product, or communication. Anything within the manager's area of responsibility could be a target for planning.

Some examples are:

| | |
|---|---|
| Focus on better utilization and care of facilities and equipment. | Improve recordkeeping and order processing. |
| Improve time management | Improve scheduling |
| Focus on quality control and waste reduction. | Improve employee's safety and health |

When you have identified the performance standards prioritize your list from most important to least important.

Given each performance standard selected requires a commitment of resources-time, money, energy, equipment, space and organizations have limited quantities of money, space, and equipment; and individuals only have so much time and energy, it's a good practice to limit the number of performance standards you set. A good rule of thumb is to choose three to five performance standards that will yield the greatest results.

Clearly defined performance standards are specific, measurable, achievable, relevant and time-framed. Effective planning is important to the smooth operation of any organization. Vague goals and unspecified time limits tend to confuse day-to-day activities, clearly specified performance standards make it easy for employees to carry out their daily activities.

QUALITATIVE AND QUANTATIVE MEASURES

Qualitative standards are behaviorally-based measures of job-related factors such as teamwork, cooperation, service, and courtesy. Like quantitative standards such as production rates and students advised, qualitative standards can be stated and measured but by using a different approach.

Typically, the measure of qualitative standards should be stated in behavioral terms. For example, a receptionist might have the performance standard of courtesy. The behavioral indicators used to measure courtesy follow:

| | |
|--|---|
| Greets all visitors within one minute of their entering the lobby. | Contacts internal host about visitors; informs visitors of host's status. |
| Smiles at visitors when interacting with them. | Helps visitors feel comfortable by offering coffee, hanging coats, etc |

Some of these indicators may be subjective, but they can be verified by direct observations and other sources of behavioral measurement.

While quantitative standards are more easily measured, resist the urge to disregard qualitative standards because they can be "subjective." If they are behaviorally anchored, qualitative standards can be stand-alone measures. Used in conjunction with quantitative measures, qualitative standards can make a huge difference in how well your organization functions efficiently and effectively in all aspects of the business.

CHARACTERISTICS OF EFFECTIVE PERFORMANCE STANDARDS: SMART

Good performance standards are **specific**. They spell out in detail what needs to be done.

Good performance standards are **measurable**. That usually means there are defined quantities specified. If a performance standard is to reduce the cost of or increase the output of a widget, it should specify by how much or by what percentage.

Good performance standards are **achievable**. The standards have either been met before, or the employee believes they can be met.

Good performance standards are **relevant**. They are stated in terms of output rather than input whenever possible. The focus should be on results rather than effort.

Good performance standards are **time-framed**. What is to be done should be completed by a definite time: by the end of the month, within six months, by September 30, and so on.

EXERCISE:

Evaluate each of the following performance standards. Identify which performance standard each statement has by circling each letter.

| S (Specific) | M (Measurable) | A (Achievable) | R (Relevant) | T (Time framed) |
|--------------|----------------|----------------|--------------|-----------------|
|--------------|----------------|----------------|--------------|-----------------|

1 Joe will reduce the amount of food waste generated by his cooking.

S M A R T

2 Assad will increase the number of recruiting visits to high schools by a significant percentage.

S M A R T

3 Rachel will reduce her absences for the year over last year.

S M A R T

4 Harry will work harder at keeping his work area neat.

S M A R T

5 Linda will reduce the cost of office supplies by 20% under FY 200X actual usage of \$4,233 by the end of this FY.

S M A R T

6 Rick will try harder to reduce the time it takes to install a computer for new hires.

S M A R T

7. Natasha will improve her telephone technique with customers.

S M A R T

8. Sam will coordinate the department picnic this year.

S M A R T

EXERCISE: WRITING SMART GOALS

How to word a goal: Start with the preposition “TO” + an accomplishment word + a single key end result + time (when it will be achieved) and cost.

Examples:

- *To increase productivity by 3% by September 30 at a cost not to exceed \$7,500.*
- *To introduce a new management information system by February 12 at a cost of \$150,000.*
- *To reduce scrap by 5% by August 23 using existing resources.*

Individually rewrite the vaguely worded items below into an improved S.M.A.R.T-based performance standard. Write them in a way that relates to your work environment. For number 6, write a performance standard that relates to your own work environment.

1. Improve productivity.
2. Increase sales.
3. Conduct more effective meetings.
4. Increase group meeting attendance.
5. Improve our safety performance.
6. Strengthen relationships with key stakeholders
7. Increase employee retention
8. Set-up a new data base
9. Increase team morale
10. Create your own SMART performance standard

WRITING PERFORMANCE STANDARDS

Performance standards are best stated in writing for two reasons. First, it's easier to analyze a written performance standard to see if it meets the criteria of a well-stated performance standard: that is, specific, measurable, achievable, relevant, and time-framed. Second, a performance standard should be written so it can serve as a basis for actions. Left to memory, a performance standard is easily forgotten. When put in writing, it becomes a contract between the manager and employee. Consequently, the employee's commitment to the plan is higher when the performance standards are in writing.

- Describe performance expectations in terms of:
 - Timeliness (deadlines, dates)
 - Cost (budget constraints, limits)
 - Quality (subjective and objective measures of satisfaction)
 - Quantity (how many)
 - Customer satisfaction
 - Any other relevant verifiable measure
- Specify the acceptable margin for error
- List any specific conditions under which the performance is expected to be accomplished or performance assessed. Examples:
 - Using job aids provided
 - Assuming all required information is received on time from department
 - Assuming this task is performed 50% of the work day

CHECKING YOUR STANDARDS

- Are the standards realistic?
- Are the standards specific?
- Are the standards based on measurable data, observation or verifiable information? Performance can be measured in terms of timeliness, cost, quality and quantity.
- Are the standards consistent with organizational goals?
- Are the standards challenging?
- Are the standards clear and understandable?
- Are the standards dynamic?

GETTING EMPLOYEES TO BUY INTO STANDARDS

Getting employee buy-in can be a challenging task for many managers. Consider the following techniques when engaging employees into newly created standards.

Inclusion: Inclusion in the workplace looks like:

- The organization cares for and protects its employees
- Listening and accepting contributions and divergent ideas as honest efforts to help
- Giving thanks for the gifts of ideas, courage, and self-appointed leadership that employees bring to the workplace
- Discouragement of backbiting and politics
- Employees are treated fairly and justly and feel the workplace is an environment they can trust
- Publicly celebrating success

Influence: Influence in the workplace looks like:

- Authority and accountability given in equal measures
- The encouragement of initiative taking
- Employees are allowed to make decisions and exercise judgment
- Employees are asked to find solutions to problems they create/encounter. Managers avoid handing down solutions

Information: Information in the workplace looks like:

- The use of language is inclusive (we, our, us)
- Listening is valued as much or more than telling
- People live their personal values
- Employees know what is expected of them
- Groups develop common values
- Differences are respected
- Information to do the job and about the big picture – goals and progress of the organization – is available and shared

Assessing standards for effectiveness: Why assess standards for effectiveness?

- Helps measure current performance
- Improves the work process
- Increases employee satisfaction
- Increases efficiency
- Increases effectiveness
- Maximizes current resources

ARE THE MEASURES (*Work Standards*) FOR THE GOALS IDENTICAL FOR ALL PEOPLE IN THE SAME JOB POSITION?

Rule of thumb: *only* work related issues should be used to apply goals differently among the same jobs/job classes.

- There are two counselors in admissions. They each have the same job responsibility; that is to recruit new students. The difference is that the departments they recruit for have very different requirements e.g. conservatory versus business. One counselor has a plethora of candidates since there are many people interested in this major. The other recruiter has a very limited number of candidates to draw from, as requirements for the Conservatory are very unique.

Should the work standards be different? If so, in what way should they differ? Explain your decision:

- There are three financial aid counselors working in the department. They each have the same job responsibility; that is to complete X number of applications per month. Two of the counselors cover the traditional applicants the other one covers transfer students. Due to the number of traditional applicants involved, the counselors working with these students have many more applications to process. However the counselor working with transfer students must spend more time on these applications.

Should the work standards be different? If so, in what way should they differ? Explain your decision:

THE GOAL SETTING MEETING

Set goals: State your goal; to share and obtain agreement on the objectives that you have created for the employee as part of the Performance Management Process.

Review goals, objectives, and strategy. Explain individual goals and performance standards.

Check reality: Share for reality and check for buy-in.

- Elicit feedback
- Emphatically hear their reality
- What are the potential obstacles/how will they be overcome
- What resources are needed/are they available

Explore options: Generate a range of options and select the most viable solution.

- Gain mutual agreement
- Summarize for understanding

Plan of Action:

- Commit to a plan of action.
- Set follow-up meetings

THE QUESTION BEHIND THE QUESTION (QBQ):

- Does this insure that your employee fully understands the goals?
- Does this insure that you understand your employee's needs?

The answer is "Maybe" or "Maybe not", it depends on both individuals ability to communicate clearly and effectively.

EXERCISE: GOAL SETTING

What are Goals?

Goals are "*what*" people do within their department to meet their job responsibilities. People in the same job position will have basically the same goals, since their job responsibilities will be the same. Goals are the key results, outcomes or products of the job. Put simply, they describe "what" the individual is expected to achieve.

Examples:

- Answer phones
- Handle all correspondence
- Process registration forms, drop adds
- Recruit new staff
- Maintain existing equipment
- Maintain buildings

Key Responsibility Areas

Identify the key responsibility areas (KRA's) of a job position.

- Use the job description for the position as a starting point.
- Narrow it down to the 3-5 most important things that need to be achieved during the time period. If you have more than 5 key responsibility areas, you may be defining the areas too narrowly; these may be tasks versus key results. The list should be relatively short and concise.
- The list should be relatively short and concise.

Consider using your own or another job description

Take a few minutes and come up with your own list for an employee under your supervision.

(Or you could do own list here)

Select a partner for this exercise.

Exchange your goal with your partner. Examine it to see if it meets SMART criteria. Look at your partner's goal from an employee's standpoint. How does it tie to the departmental goals? Are there any difficulties with the goal? How can it be improved?

Take 10 minutes and we will discuss the outcomes when you are finished.

Debrief notes:

CASE EXERCISE: NOTES FOR THE MANAGER

You are a manager in a major corporation. You are meeting with Sarah/Sam to begin the strategic planning process for the next fiscal year. Sarah/Sam is in charge of invoicing for your company. According to the year-end reports you supplied Sarah/Sam, billing lag times have increased over the last year due to the merger with Capital Manufacturing. You would like performance standards set that will decrease invoicing time for the upcoming year.

Sarah/Sam is a dedicated, hard-working team member. You had already given Sarah/Sam the task of combining your company's and Capital's invoicing systems at the time of the merger.

Manager's Notes:

1. State the overall goal.

Reduce the time it takes to invoice clients.

2. Ask team member how he can reduce invoicing from 2 days to 1 day.

3. Negotiate to reach an attainable goal.

With all the other activities . . . allow 30 days.

4. Set a review date to check on progress.

Meet at 10:00 a.m. on the 18th.

CASE EXERCISE: NOTES FOR THE *EMPLOYEE*

You are responsible for invoicing in a large corporation that has merged with Capital Manufacturing during the last year. You were given the additional task of combining Capital's invoicing system with your company's system.

Joe/Jo, your manager, is meeting with you to develop performance standards for the next fiscal year. Prior to your meeting, Joe/Jo supplied you with your department's year-end reports.

1. State your view of how you can contribute to the plan.

Review year-end reports and help to determine performance standards for next year.

2. Negotiate to reach an attainable goal.

We can be caught up within 15 days.

3. Agree to negotiated goal.

30 days . . . plenty of time.

4. Agree to a review meeting, suggest date and time.

OBSERVER'S FORM

Use this form to record your observations of the manager's application of the essential skills and the skill points during the practice session.

ESSENTIAL SKILLS

- Maintained or Enhanced Employee's Self-Esteem.....
- Focused on Behavior.....
- Encouraged Employee Participation.....
- Created a Climate of Open Communication.....
- Designed Clear, Concise Messages.....
- Managed Nonverbal Behaviors Effectively.....
- Listening: Reflected Probed Supported Advised
- Provided Feedback.....

USE OF SPECIFIC SKILL POINTS:

Yes **No**

1. Stated broad goal of the plan and the employee's role within it.....
2. Asked employee's view of what his/her performance standards should be.....
3. Negotiated by modifying unrealistically high or low performance standards.....
4. Agreed on a set of performance standards that S.M.A.R.T.- based.....
5. Confirmed employee's commitment and set up review.....

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4. Agreed on a set of performance standards that S.M.A.R.T.- based.....
5. Confirmed employee's commitment and set up review.....

ADDITIONAL PRACTICE

Gene/Jean is the manager in an engineering department. A new computer tracking system has been installed in his area to monitor the progress and costs of engineering projects. By the end of the month, all of Gene's/Jean's engineers must input complete information on their projects, going back to the beginning of the year. Gene/Jean estimates that this job will take each engineer one hour per day for the remainder of the month. Gene's/Jean's top engineer, Tony/Toni, is resistant to the tracking system. He sees it as a way to measure performance and feels that such a system is out of place in a professional organization. Tony/Toni does not want to take time out of his schedule to input the necessary information. He figures that if you want to know where his projects stand, you can ask him.

Practice – Setting Goals and Performance Standards Meeting Worksheet

Using the questions below, plan your sessions with Tony/Toni.

1. Meeting goals.
2. State broad goal of the plan and the employee's role within it.
3. Ask the employee's view of what his or her performance standards should be within the plan.
4. Negotiate by modifying unrealistically high or low performance standards.
5. Agree on performance standards that are S.M.A.R.T.-based.
6. Confirm employee's commitment and set up review.

SETTING GOALS

Mission Statement and SWOT: A Starting Point for Identifying Achievable Goals

Write the College's mission statement here:

| Strengths | Weaknesses |
|---|---|
| <p>Internal positive aspects that are under control and upon which you can capitalize</p> <ul style="list-style-type: none"> ▪ What do you do well? ▪ What are your inherent strengths? ▪ What are your core skills or competencies? ▪ What are your advantages ▪ What are your major accomplishments? | <p>Internal negative aspects that are under your control and that you can improve upon</p> <ul style="list-style-type: none"> ▪ What could you improve upon? ▪ What do you do badly? ▪ What do you avoid doing? ▪ What should you avoid doing? ▪ What professional weaknesses hold you back? |
| Opportunities | Threats |
| <p>Positive external conditions that you don't control but can take advantage of</p> <ul style="list-style-type: none"> ▪ What economic trends are creating more opportunities locally or globally ▪ What changes in technology can you take advantage of? ▪ What government policies are related to your industry? ▪ What cultural or social changes are creating opportunities? | <p>Negative external conditions that you don't control but can minimize the effects of</p> <ul style="list-style-type: none"> ▪ What obstacles are you facing in the environment? (Economic trends, government regulations, labor market conditions, etc.) ▪ What market trends affect you? (Demand, competition, industry changes) ▪ Is changing technology a threat? |

| Strengths | Weaknesses |
|----------------------|-------------------|
| | |
| Opportunities | Threats |
| | |

IDENTIFYING WHAT YOUR EMPLOYEES WANT THE MOST

STEPS TO IDENTIFY WHAT MOTIVATES YOUR EMPLOYEES

- Make of list of three to five things that motivate each of your employees
- Schedule one-on-one meetings with all employees to discuss what motivates them and how you can support them
- Work with each employee to ensure his/her motivational factors are taken into consideration in your reward systems

Use this list of common motivators to begin a discussion with each employee.

| | |
|------------------------------|---|
| Career Development/Success | Social/Affiliation/Popularity/Acceptance |
| Comfort/Relaxation | Status/Prestige/Stand Out/Reputation |
| Recognition/Praise | Task Accomplishment/Problem Solving/Achievement |
| Influence/Leadership | Teaching/Guiding Others |
| Learning/Knowledge/Discovery | Vitality/Energy |
| Materials/Possessions | Security/Money/Home |
| | Others? _____ |

List a strategy that will support one of your employee's number one motivator.

RECOGNIZING AND REWARDING QUALITY WORK

- **Rule #1:** Establish a clear link between what people are rewarded for and the organization's priorities
 - Example: Reduce absenteeism. Reward: Handwritten recognition for employees who have perfect attendance for the month and their name goes into a monthly drawing for a gift certificate
- **Rule #2:** Ask the people you want to reward what is meaningful to them
 - Public versus private praise
 - Tangible items versus intangible opportunities
- **Rule #3:** Be specific in telling the employee exactly why he or she is being rewarded/receiving recognition
 - Less effective: "Nice job on the Elmer Project."
 - More effective: "The customer loved the layout of the report and has requested that we produce others for them."
- **Rule #4:** Provide frequent recognition but not with such sameness or consistency that it becomes an expectation

Identifying demotivators

Have you heard these or similar comments from your employees or colleagues?

- "This would be such a great place to work if it wasn't for..."
- "I wish it could be more fun."
- "Things just never seem to change for the better."

Common demotivators include:

| | |
|-------------------------|------------------------|
| Politics | Unclear expectations |
| Unnecessary rules | Poorly designed work |
| Unproductive meetings | Lack of follow-up |
| Constant change | Internal competition |
| Dishonesty | Hypocrisy |
| Being taken for granted | Discouraging responses |

ACTIVITY: PERFORMANCE STANDARDS CHART

Instructions: Practice rewriting these general goals into performance standards.

| General goal | What is to be done? | When is it to be done? | How will it be measured? | What organizational goal does this link to? |
|--|--|------------------------|--------------------------------------|--|
| <i>Increase sales</i> | <i>Train employees on new sales strategies</i> | <i>December 2006</i> | <i>Increase in dollars generated</i> | <i>Improving the company's financial fitness</i> |
| Strengthen relationships with key stakeholders | | | | |
| Increase employee retention | | | | |
| Set up a new database | | | | |
| Increase team morale | | | | |
| Increase student retention | | | | |

ACTIVITY: DEVELOP YOUR PERFORMANCE STANDARDS

Instructions: List the general goals for one of your direct reports and transform them into performance standards.

| General goal | What is to be done? | When is it to be done? | How will it be measured? | What organizational goal does this link to? |
|---------------------|----------------------------|-------------------------------|---------------------------------|--|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

CONVERTING GOALS TO ACTION

CREATING THE ACTION PLAN

Implementing the Goal

Planning is a good start on the road to goal accomplishment. But you'll need more! Your new ideas, processes, policies and programs must be implemented for progress to be made.

Without action, nothing is achieved. It's easier to take action when you have completed the Goal Action Plan, because it serves as the road map that specifies:

- What
- How
- Who
- When

Additionally, the Goal Action Plan will list any barriers you may encounter and it will also track the resources needed to overcome those barriers.

The journey of 10,000 miles
starts with but a single step.

-Ancient Chinese Proverb

To develop an action plan, you'll need to walk through the following process:

1. For each goal, identify the necessary chain of actions.
 - Work backwards. Start with the last action needed and indicate the date it must be completed.
 - Then list the action that must be completed before that, before that, and so on.
 - Based on team roles, determine who's primarily responsible for each action. Use a team roles worksheet if necessary.
2. List the projected results, measurement criteria, and specifics of what you'll be measuring.
3. Note any barriers or obstacles, the resources needed to remove those barriers and the person to contact. Complete the barrier obstacle spreadsheet to assist you.

GOAL ACTION PLAN

| Goal: Create a marketing report for July, deliverable to Senior Management. | | | | | |
|--|------------|-------------|-----------------|-------------------------------|-----------------------------|
| Action Step | Who | Date | Criteria | Barriers Obstacles | Resources Needed |
| Distribute Report | Dave | 6/30 | 100% delivery | Time Involved | Dave, Mail |
| Produce Report | Emma | 6/25 | 50 copies | Print shop | Emma, Kinkos |
| Prepare Report for Print | Emma | 6/20 | 100% Accuracy | Desktop Publisher | Emma, Publications |
| Write Report | Dan | 6/18 | 100 % Accuracy | Too much input | Dan, Tom, Bill, Sue |
| Gather Information | 6/4 | Dave | 100% Accuracy | Getting Enough Info | Dave, Research Division |

CREATING THE ACTION PLAN

| Goal: Develop at least three action steps for one of your earlier goals | | | | |
|--|-------------|-----------------|---------------------------|-------------------------|
| Action step | Date | Criteria | Barriers/Obstacles | Resources needed |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

APPLYING PREVENTIVE AND CONTINGENCY PLANS TO ENSURE SUCCESS

After defining goals and generating creative action steps to achieve them, it's important to consider what could go wrong. You might foresee such difficulties as weather problems, communication breakdowns, delayed delivery of materials or unavailable resources.

Once you identify all possible problems, list all the **preventive actions** you can take to keep them from happening as well as **contingency actions** you might take should the possible problems occur.

| <u>What Could Go Wrong</u> | <u>Preventive Action</u> What can you do to keep it from happening? | <u>Contingency Action</u> |
|-----------------------------------|---|----------------------------------|
| | | |

Review your ideas with other members of your small group and add their ideas to improve your action plans – preventive and contingency.

YOUR GOAL ACTION PLAN WORKSHEET

| Action Step | Who | Date | Criteria | Barriers Obstacles | Resources Needed |
|-------------|-----|------|----------|-----------------------|---------------------|
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| | | | | | |

SAMPLE OBSTACLES WORKSHEET

| Potential Obstacle (check those that apply) | Pre-work/Readiness Steps | Resources | Contacts |
|---|-----------------------------|-----------|----------|
| Lack of senior management belief and commitment to the goal | | | |
| Number of people involved in goal too large | | | |
| Number of people involved in the goal too small | | | |
| No cultural belief in the goal | | | |
| No time or resource commitment from management | | | |
| Process rushed | | | |
| Dominant pressure of day-to-day responsibilities | | | |
| Unwillingness to be visionary or creative | | | |
| No rewards | | | |
| Past history/mistakes involving similar goals | | | |
| Constantly changing priorities | | | |
| Inconsistent decision-making | | | |
| Difficulty sustaining momentum | | | |
| Unwillingness to be proactive | | | |
| Low reinforcement for strategic thinking | | | |

COMMON GOAL-MAKING MISTAKES

Conflicting Goals

In most cases, a goal cannot and should not directly contradict any of your other goals. You can avoid goal conflict by asking yourself a few simple questions:

- Does this goal *align* with the mission?
- Does this goal compete for any of the resources required for the successful completion of other goals?
- Does successful completion of this goal prohibit the successful completion of any other goals?

“Wantism” Rather than Realism

Realistic goals are practical and possible. They are achievable and believable: a balance between challenge and ease, between effort and probability. Ask yourself:

- Is this goal based on the reality that something can or should happen versus simply “wanting” it to happen?
- Is there a logical, rational reason for setting this goal?

Too High/Too Low

Finally, a realistic goal involves some “reach” “flex” “stretch” or “growth” but not so much so that an individual finds it demoralizing, defeating, and de-motivating. Check your goal by asking:

- Is this goal based on consistency of performance?
- Does this goal encourage some stretch?

Outcomes vs. Activities

Once you’ve successfully identified goals that are achievable and believable, you’re ready for the next phase, which is to identify quantifiable outcome measures of success. This will include:

- Developing a plan
- Selecting an appropriate matrix to measure success
- Writing goals that are focused on SMART activities and positive language

PLANNING TO PLAN

HOW WILL YOU DEFINE SUCCESS FOR THE GOALS YOU'VE SET?

You must start by developing a plan that “plans” for the impact your goals will have in key areas of your business. Some key success areas to consider are with regard to quantifiable outcomes are:

1. Client Satisfaction
2. Financial Fitness
3. Employee Satisfaction
4. _____
5. _____
6. _____

Remember: *What gets measured and rewarded is what gets done!*

MEASURING SUCCESS

After you determine what the key success areas are, you can identify the specific measurements and targets you're aiming for.

What will your specific measurements be?

Think in terms of both **quantitative** and **qualitative** measures.

Brainstorm the quantitative ways you can measure an outcome:

| | |
|--|--|
| | |
| | |
| | |

Brainstorm the qualitative ways you can measure an outcome:

| | |
|--|--|
| | |
| | |
| | |

EXERCISE: For each goal you've identified, select a key success area from the earlier page and determine what the measurement(s) will be and the projected target. List that information on the matrix shown here.

| Key Success Area | Measurement | Projected Target |
|-------------------|---------------------------------|----------------------|
| Financial Fitness | Increase Dollar Amount of Sales | Fourth quarter, 200X |
| | | |
| | | |
| | | |
| | | |

Writing Measurable Goals

After identifying the projected target and the quantitative/qualitative means by which you'll measure your achievements, you should be able to write measurable objectives that will lead to the development of your final goal statement. This will be easy if you use a matrix similar to the simple version shown here.

Practice writing your measurable objectives here. Refer to the action verbs on the next page to assist you in focusing on what will be *done*.

| What is to be done? (Action verb) | How much is to be done? | When is it to be done? | How will it be measured? | What organizational goal does this link to? |
|--------------------------------------|-------------------------|------------------------|-------------------------------|---|
| Increase sales | 7 Percent | December 200X | Increase in dollars generated | Improving the company's financial fitness |
| | | | | |
| | | | | |
| | | | | |

ACTION VERBS

| | | | | |
|-------------|------------|-----------|--------------|-------------|
| Accelerate | Accomplish | Achieve | Activate | Add to |
| Administer | Allocate | Analyze | Answer | Apply |
| Appraise | Arrange | Attend | Authorize | Automate |
| Bring about | Budget | Build | Carry out | Change |
| Clarify | Classify | Code | Communicate | Complete |
| Complete | Conclude | Conduct | Conserve | Construct |
| Control | Create | Customize | Decrease | Define |
| Determine | Develop | Devise | Direct | Distribute |
| Document | Effect | Eliminate | Enroll | Ensure |
| Establish | Evaluate | Execute | Expand | Expedite |
| Facilitate | Forecast | Formulate | Fulfill | Gain |
| Generate | Identify | Implement | Improve | Incorporate |
| Increase | Influence | Innovate | Install | Instruct |
| Interview | Introduce | Invest | Investigate | Launch |
| Lead | Learn | Maintain | Make | Manage |
| Manufacture | Map | Market | Match | Maximize |
| Measure | Merge | Model | Monitor | Motivate |
| Negotiate | Obtain | Open | Operate | Organize |
| Oversee | Penetrate | Perform | Persuade | Plan |
| Prepare | Present | Print | Prioritize | Process |
| Process | Procure | Produce | Program | Provide |
| Publish | Purchase | Qualify | Quantify | Reconcile |
| Record | Recruit | Redesign | Reduce | Reorganize |
| Research | Research | Resolve | Restrict | Retool |
| Review | Revise | Satisfy | Secure | Select |
| Sell | Serve | Set-up | Ship | Sign-up |
| Simplify | Solve | Sort | Start | Streamline |
| Supervise | Supply | Support | Systematize | Test |
| Track | Train | Transfer | Troubleshoot | Verify |
| Update | Upgrade | Use | Utilize | Write |

MANAGER'S CHECKLIST

EXAMPLE:

| Employee | Goals established | Performance standards established | Action plan written | Date to follow up on action plan |
|----------|-------------------|-----------------------------------|---------------------|----------------------------------|
| Abby | X | X | X | 8-31 |
| Brynn | | | | |
| Crystal | X | | | |
| David | X | X | | |

YOUR CHECKLIST

| Employee | Goals established | Performance standards established | Action plan written | Date to follow up on action plan |
|----------|-------------------|-----------------------------------|---------------------|----------------------------------|
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

MANAGER'S CHECKLIST

| Manager's action | How you should do it |
|---|---|
| Observe your employee's work performance | <p>It's OK to take an interest in your employee's personal life, but feedback should be limited to work performance issues: Objective, factual, specific, observable behaviors, results and teamwork</p> <p>Observe performance first-hand whenever possible, and when you can't, have a plan for gathering information that is clearly understood by everyone involved and applied fairly</p> |
| When the performance you observe is significant, document your observations | <p>Record the employee's successes as well as problems or areas for improvement</p> <p>Use specific, objective, factual descriptions to record the following:</p> <ul style="list-style-type: none"> Evidence of significant results of employee performance Indicators of employee behaviors that you want to provide feedback about (both positive and needing improvement) Important decisions made (both positive and needing improvement) Ideas for action plans |
| Give frequent feedback | <p>Be certain that your nonverbal communication (facial expressions and tone of voice) express helpfulness and openness to the employee's perspective</p> <p>Give positive feedback frequently. Some people prefer to receive praise in private. Take the time to know what motivates your employees</p> <p>Give constructive feedback as needed, in private and as close to the time of performance as possible. Sometimes taking the time to get some emotional space is wise and welcome, but provide feedback as soon as possible</p> <p>Before moving to problem-solving, check to see what employees thought your expectations were. Often, clarifying expectations will be all that is needed to ensure employee success</p> <p>When giving feedback, always give your employees a chance to talk about their performance. It is energizing and informative to hear their thoughts about how they were successful or why they got the results that they did</p> <p>Avoid making negative statements that assess your employees' character, motivations or psychological state. Such statements are subjective and discouraging, and create defensiveness</p> |

| Employee | Observe work (date) | Document significant performance | Give frequent feedback (date) |
|-----------------|-----------------------|----------------------------------|-------------------------------|
| <i>Danielle</i> | <i>6/4/05, 7/1/05</i> | <i>Yes</i> | <i>6/8/05, 6/16/05</i> |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |

What to measure

- Avoid activity-based measurements; aim for results-based measurements
- Employees and managers must agree on metrics
 - Results oriented
 - Important
- The system shouldn't create additional work
 - Easy to report

Examples of measurements gone wrong

- Unintended negative consequences for desired performance
 - Example: "What you do well you get more of": Employees who accomplish the desired performance are given more of that work to do because they are reliable, etc. Negative consequence: more work
 - Example: Coming in under budget for the year and as a result, having your budget decreased by that amount next year
 - Example: Inbound call centers whose employees are evaluated based on the number of calls they take, and as a result they rush through calls and don't solve the customers' problems. A better measurement: Problems solved per hour
- Unintended positive consequences for non-performance
 - Example: Arriving late for meetings. Positive consequence: Latecomers don't have to wait around
 - Example: Welfare case workers who don't close out cases. Positive consequence: Don't have to open new cases, which require more work in the beginning (caseload remains consistent, so if current cases aren't closed, new ones don't have to be added)

Activity: What are you measuring?

Instructions: List two or three things that your direct reports in your unit/team are accountable for, and identify how you measure that performance. Are you measuring the right thing?

Stick to these guiding principles:

- Measure what matters
- Keep it simple

How to measure

- 100-point scale
 - 100 = expected performance
 - <100 = below expectations
 - >100 = above expectations

How often to measure

- Hourly
- Daily
- Weekly
- Monthly
- Quarterly
- Semi-annually
- Annually

How to reward performance goals that are met or exceeded

- Rule #1: Establish a clear link between what people are rewarded for and the organization's priorities
 - Example: Reduce absenteeism. Reward: Handwritten recognition for employees who have perfect attendance for the month and their name goes into a monthly drawing for a gift certificate
- Rule #2: Ask the people you want to reward what is meaningful to them
 - Public versus private praise
 - Tangible items versus intangible opportunities
- Rule #3: Be specific in telling the employee exactly why he or she is being rewarded/receiving recognition
 - Less effective: "Nice job on the Elmer Project"
 - More effective: "The customer loved the layout of the report and has requested that we produce others for them."
- Rule #4: Provide frequent recognition but not with such sameness or consistency that it becomes an expectation

Categories of rewards

- Money
 - Salary, bonus, stock options, gift certificates, cash
- Time
 - Time off, comp time
- Written words
 - Written thank you notes
 - A letter of appreciation in the employee file
 - Handwritten cards to mark occasions
 - Recognition posted on the employee bulletin board
 - Mention an employee's name in a memo, status report or letter seen by peers
 - Contribution noted in the company newsletter
- Positive attention
 - Stop by an individual's workstation or office to talk informally
 - Provide frequent positive performance feedback – at least weekly
 - Provide public praise at a staff meeting
 - Have a worker attend meetings with next-higher level of management (as a guest, a participant or as a presenter)
 - Take the employee out to lunch
- Career development
 - Send people to conferences and seminars
 - Ask people to present a summary of what they learned at a conference or seminar at a department meeting
 - Make career development commitments and a schedule

- The work itself
 - Provide cross-training opportunities
 - Provide more of the kinds of work the employee likes and less of the work he or she does not like
 - Opportunities for empowerment and self-management
 - Ask the employee to represent the department at an important, external meeting
 - Have the employee represent the department on an inter-departmental committee
 - Opportunities to determine goals and direction
 - Participation in idea-generation and decision making
- Gifts
 - Company logo merchandise such as shirts, hats, mugs and jackets
 - Gift certificates to local stores
 - The opportunity to select items from a catalog
 - The ability to exchange "positive points" for merchandise or entry into a drawing for merchandise
- Symbols and honors
 - Framed certificates or plaques to hang on the wall
 - Larger work area or office
 - More and better equipment
 - Reserved parking spot

Another way to reward employees is to get rid of demotivating aspects of the workplace:

| | |
|---|---|
| An atmosphere full of company politics | Unclear expectations regarding your employees' performance |
| Unnecessary rules for employees to follow | Unproductive meetings for employees to attend |
| Internal competition between employees | Withholding information critical for employees to perform their work |
| Too much criticism instead of constructive feedback | Tolerating poor performance, which results in your high-performing employees feeling taken advantage of |
| Treating employees unfairly | Underutilizing the capability of your employees |
| Lying to your employees when they ask questions | |

Defining performance problems

Instructions: List the types of issues and behaviors that constitute performance problems.

- _____
- _____
- _____
- _____
- _____

Look for obvious reasons first

- Unclear expectations: Make certain employees know what is expected of them — performance gaps may be due to unclear expectations
- Insufficient resources — if an employee has insufficient resources (time, money or access to required tools/material/information), no performance plan can correct the performance
- Inadequate feedback — an employee may simply need more ongoing feedback, not a formal performance improvement plan

Four reasons for poor performance

- Don't know
 - Does the employee have adequate training for the job?
- Can't do
 - Does the employee have the capability to do quality work?
- Isn't allowed
 - Does the employee have the necessary tools, systems, processes and support to perform the job?
- Won't do
 - Does the employee have an interest in doing the work?

| Performance Problem | Possible Solution |
|----------------------------|--|
| Don't know | <ul style="list-style-type: none"> <input type="checkbox"/> Assess knowledge gap <input type="checkbox"/> Provide skills training <input type="checkbox"/> Communicate more effectively <input type="checkbox"/> Foster development through job shadowing, mentoring, etc. |
| Can't do | <ul style="list-style-type: none"> <input type="checkbox"/> Determine appropriate career path <input type="checkbox"/> Identify opportunities for relocating <input type="checkbox"/> Assess necessary steps for removal |
| Isn't allowed | <ul style="list-style-type: none"> <input type="checkbox"/> Improve processes <input type="checkbox"/> Improve work flow and integration <input type="checkbox"/> Control aspects of the work environment that the employee can't |
| Won't do | <ul style="list-style-type: none"> <input type="checkbox"/> Clarify roles and responsibilities <input type="checkbox"/> Communicate specific expectations <input type="checkbox"/> Determine motivators <input type="checkbox"/> Identify consequences for non-performance |

External options for improving poor performance

- Redesign the job
 - Simplify or eliminate parts
 - Assign part of the job to someone else
 - Change a process or sequence of tasks
- Change the criteria for successful performance
 - Can anything be relaxed in terms of rate of work, accuracy, completeness, etc.?
- Provide assistance with mental tasks
 - Job aids
 - Memory device
 - Color coding
- Provide assistance with physical tasks
 - More or better equipment
 - Rearrange work space

Activity: Easy changes you can make

Instructions: Think of the position of someone you manage. List ideas for making “external” changes that would increase performance.

Establishing consequences for non-performance

The main objective of discipline should be to correct, not to punish.

- Begin with the least-severe corrective action and proceed to increasingly severe consequences only as necessary
- In case of a serious offense, the early steps may be skipped
- The severity of the consequence should match the severity of the offense
- If progressive discipline is not consistently and appropriately applied, employees may feel discriminated against

Other factors to consider

- Just cause
- Burden of proof
- Timeliness of the disciplinary action
- Time given to correct the problem issue
- Documentation of the disciplinary process
- The grievance/appeals process

Special considerations when documenting performance

- Document the facts that show you acted fairly and properly
- Do not document your feelings, speculations or concerns
- Key events should be documented in every employee's file
- Documentation of disciplinary action taken should be kept in the employee's personnel file in the HR office and in the manager's file and given to the employee
- Language should be specific, and the tone should be corrective, not punitive

Confront performance problems early

| Early performance problem | Could become: |
|---|-----------------------------------|
| Being late for meetings | Coming in later and later to work |
| Not following the organizational dress code | |
| Not returning e-mails or phone calls in a timely manner | |
| Being rude to co-workers | |

ACTIVITY: CHANGE THE VAGUE LANGUAGE TO SPECIFIC, OBJECTIVE LANGUAGE

| Vague | Specific |
|---|----------|
| 1. Lacks client orientation | |
| 2. Is chronically absent | |
| 3. Work reports are often late and incomplete | |
| 4. Unmotivated | |
| 5. Ignores clients | |

ACTIVITY: DETERMINING APPROPRIATE DOCUMENTATION

Instructions: Decide which of the following statements would be appropriate to include as part of formal documentation. If the statement isn't appropriate, write something that would be.

1. Bob has a bad attitude. He's tough to get along with and many people find him a challenge.

2. Sue's been late five times in the past three weeks, causing other department members to cover for her until she arrives.

3. Sherri's not a team player. Everyone knows she's only out for herself.

4. Randy has consistently missed deadlines and his work is sloppy.

Checklist

- Does the action follow an employment agreement if one is in place?
- Have positive and negative performance been documented?
- Have all contractual procedures been met?
- Does the employee have any right to claim unequal treatment?
- Are reasons for action clearly documented and verified?
- Is the organization's position definitely defensible?
- Have all the employee's rights been taken into consideration?

Communicating clear standards

- Be proactive
- Stay focused
- Explain why the standards are being expected of them
- Use straightforward language
- Show — don't just tell
- Write it down and repeat, repeat, repeat
- Make communicating standards part of your “corporate language”
 - Involve co-workers
 - Listen to employees
 - Have at least one meeting to specifically discuss standards with each employee

Mediocre management vs. successful leadership

- The mediocre manager figures out what is wrong and tries to fix it. The successful leader figures out what's right and models it.
- The mediocre manager knows when someone is underperforming. The successful leader also finds out why someone is under - performing.
- The mediocre manager provides generic “go get 'em” motivation. The successful leader also targets a specific business result and coaches to achieve it.
- The mediocre manager undertakes goal setting as a once-a-year activity. The successful leader also uses constant measuring and monitoring skills to keep employees informed of their progress.
- The mediocre manager sets arbitrary performance standards or none at all. The successful leader also ties performance standards to business results.
- The mediocre manager has a “one size fits all” approach to incentives. The successful leader also provides meaningful incentives.

FINAL MANAGER'S CHECKLIST

| | | |
|---|---|---|
| Y | N | I have conducted a planning session with each of my employees that has resulted in a performance plan for each of my employees. |
| Y | N | I have aligned performance plans with my department/organization's goals and objectives. |
| Y | N | I have effectively communicated the performance plan components to each of my employees. |
| Y | N | I have provided coaching and feedback, including at least one documented progress review (positive and areas for improvement). |
| Y | N | I have provided ongoing feedback to each employee so there are no surprises. |
| Y | N | I have evaluated each employee in writing prior to the established deadline. |
| Y | N | I have evaluated each employee objectively, based on observable behaviors and performance and established criteria and measurements. |
| Y | N | I have created a performance improvement plan for corrective action when a performance gap exists. |
| Y | N | I have established and communicated consequences for non-performance so that each employee knows what will happen in the event behavior and performance is not corrected. |

TAKE AWAY ACTIVITY: WHERE DO I FIT IN?

There are five things every employee needs to know in order to be successful. Take some time after class to answer the following five questions. If you can't answer the questions, try some of the suggestions given to ensure you're setting yourself up for success!

| Question | Relevance | If Unknown, you should... |
|------------------------------|--|--|
| Where are we headed? | You must be able to align your work activities with your organization's goals and your boss's goals. | Ask what your boss's goals are Ask your boss to review your goals |
| What's my role? | If you don't understand your role, you can't fulfill it. | Ask your boss Ask your teammates |
| What will be demanded of me? | You've got to be clear about the expectations of your performance | Review your boss's goals to determine which responsibilities are yours. |
| What's my 30-day goal? | Having something on the near horizon encourages accomplishment. Putting goals into 30-day "chunks" makes them more achievable. | Put your goals on a timeline and determine what you need to accomplish monthly. |
| Where should I go for help? | It's better to ask for help than to continue to do something incorrectly. | Network with members of the team who have the expertise you need Identify resources outside your team who can help. |

PERFORMANCE STANDARDS CHALLENGES

| CHALLENGE | ISSUE | TYPICAL COMMENTS | REASONS | WAYS TO RESPOND |
|--|---|--|--|---|
| TOO LOW STANDARDS | Set standards too low to meet goals | “This is the best I can do.” “Anything else is unrealistic.” | If successful, don’t have to commit to end result May not believe in the goal | Ask to explain how they arrived at performance standard Ask how achievable the standard is |
| TOO HIGH STANDARDS | Hard worker Eager to please May set unrealistic ambitious standards | “You can do anything when you put your mind to it.” | May become de-motivated and struggle to meet the goal | Help them to recognize the performance standard may be unrealistic Tell them once achieved other opportunities may come from it Share projects to help them review realistic data on which to base estimates Have them talk to others to see how they develop realistic standards |
| UN-MEASURABLE STANDARDS | Sets standards that are not measurable | “My performance standard is to cooperate with the rest of the group to increase our productivity.” | States standard in unclear language so they are not held accountable | Ask what they specifically will do to help the group Ask how much to expect productivity will increase as a result of their efforts Ask by what date to expect this percent of improvement |
| DOES NOT KNOW HOW TO WRITE A PERFORMANCE STANDARD | Even after a meeting they request a meeting to accomplish task | “I’m not real good with words.” | Need extra help setting goals and standards Difficult to ask for help | If you have time do it then or set another time without interruptions Share your well-stated standards with them Suggest they develop standards with each other – have group leader with expertise in this task Review the standard to be sure goal can be performed within time limit, is attainable, and can measure results |
| CAN’T MEET THE PERFORMANCE STANDARD | Can’t meet the standard | “With the data available when we discussed the plan, the budget was realistic.” “The cost overrun was due to external events.” “Since it was out of my | When unanticipated circumstances occur making it difficult to meet standard, manager can renegotiate and make changes to accommodate the changes | Review what happened to avoid such occurrences in the future If the review was in their favor make appropriate adjustments in the plan, i.e. up the budget or cut on labor/material costs to generate savings Hold frequent progress reviews and renegotiate |

| | | | | |
|--|---|--|---|--|
| | | control, I don't think my performance review should suffer." | | standards while variance is small |
| DOESN'T UNDERSTAND THE BROAD GOAL | Doesn't understand goal Creates irrelevant standards | "I can't really think of anything that will help you meet the goal." "The plan doesn't make much sense anyway." | Doesn't understand how their efforts contribute to overall mission of the organization | Review broad goal – show how their job contributes to accomplish the goal Design clear, concise message in words they understand – use charts, graphs, diagrams etc – encourage brainstorming – use active listening to determine their commitment to perform Encourage them to talk to others for their understanding of the goal |
| NO GENUINE COMMITMENT | Agreed at meeting to goals and standards but later find they are not comfortable or committed to them | "I know I said I'd do that, but I wasn't happy about it." "I never did think it was practical." | Team leader didn't confirm the commitment – if no commitment it's unlikely they will work hard to achieve the targets | Meet with them – review standards – find out why they don't it's practical If their view has merit adjust the standard – if not, deal with their reservations and re-clarify your need of commitment |
| DOESN'T TAKE PERFORMANCE MANAGEMENT PROCESS SERIOUSLY | They complain to co-workers that it's just a paper drill and waste of time | "This is such a stupid ritual." "Nobody takes these plans seriously, but I'll play their little game." | Unless closely observed, they will ignore the goals of the standard When the behavior is addressed they will likely comply with the plan | Let them know how important the plan is Show direct relationship between the standard and organization's bottom-line results Remind them their performance is measured by how well they plan and meet standards Make it clear there will be regular progress reviews Send them to training program on planning |
| COMPLAINS PERFORMANCE STANDARDS AREN'T FAIR AND EQUAL | Complains their standards are higher than another work group | "Employees in B Group have it a lot easier than we do." "Their performance standards are lower than ours and they don't have to produce as much." | Objects to what appears to be disparity in how plans are administered | Ask for specific examples of disparity Point out neither of you has complete information on Group B's goals or how their standards support the plan Encourage them to perform with full capabilities – review rewards for doing so |

GOALS AND OBJECTIVES

Manager lists goals for the evaluation period. Employee completes self-assessment by adding comments that describe performance toward those goals. Manager may add comments describing performance after reviewing self-assessment.

GOAL/OBJECTIVE:

EMPLOYEE COMMENTS:

MANAGER COMMENTS:

SELF ASSESSMENT:

Employee answers self-assessment questions as input to the performance evaluation. This should be completed by the employee and submitted to their Manager prior to meeting for the review. Employee should also review his/her job description and be ready to discuss any recommended changes with their Manager.

Briefly describe your accomplishments (in addition to progress toward your previous year's goals) over the past performance period.

Identify an area(s) where you would like to improve your performance.

Is there anything your Manager or the College could do to help you improve your performance and/or increase your job satisfaction? (*i.e., additional training, resources, clearer communication, sharing information/job knowledge, etc.*)

List any other subjects you would like to discuss with your Manager during your performance review.

PERFORMANCE SUCCESS FACTORS

Using the following ratings legend (see full descriptions on page 53):

OP – Outstanding Performance | EP – Excellent Performance | SP – Successful Performance | NI – Needs Improvement | U – Unsatisfactory

Employee should self-assess his/her own performance in each general category below. Manager then rates employee following the employee's self-evaluation. Supporting comments, added by the manager, are encouraged. Any categories ratings of OP-Outstanding Performance or U-Unsatisfactory require supporting comments.

| | OVERALL RATING | |
|---|-----------------------|----------------|
| | EMPLOYEE | MANAGER |
| <p>EFFICIENCY AND TIME MANAGEMENT – Includes punctuality and productivity issues such as:</p> <p>Attends work as scheduled, arriving and leaving at appropriate times. Manages time effectively and maximizes productivity. Completes assignments without prompting, meets established deadlines.</p> | _____ | _____ |
| <p>COMMUNICATION AND TEAMWORK - Performance specifically related to communication and teamwork such as:</p> <p>Promotes the mission and goals of the department, division, and College. Effectively communicates with manager, co-workers, and others. Clearly and concisely conveys information both verbally and in writing. Promotes teamwork. Works well as a team member and individual contributor.</p> | _____ | _____ |
| <p>EFFECTIVENESS - Includes the quantity and quality of work as well as organizational skills necessary to perform successfully. Examples include: Accepts responsibility and accountability. Performance reflects attention to detail and accuracy to produce quality results. Demonstrates resourcefulness, problem-solving and decision-making skills. Uses technology appropriate to job position.</p> | _____ | _____ |
| <p>CUSTOMER SERVICE ORIENTATION - Includes attitude, behavior, interpersonal, and problem solving skills that enable an employee to respond to internal and external constituent needs and expectations in a positive manner. Examples include:</p> <p>Exhibits a positive attitude toward customer service. Responds promptly and appropriately to internal and external constituent requests. Interacts with people in a supportive, respectful manner. Acknowledges and respects individual and cultural differences.</p> | _____ | _____ |
| <p>ADAPTABILITY - Includes flexibility needed to fulfill job responsibilities including adapting to changes in the work environment and accepting appropriate feedback such as:</p> <p>Responds to change in a positive manner. Offers to assist others without being prompted. Demonstrates willingness to accept new assignments. Accepts constructive criticism and modifies behavior appropriately. Expands job knowledge and skills through training and development.</p> | _____ | _____ |

DEPARTMENT-SPECIFIC PERFORMANCE SUCCESS FACTORS

Using the same ratings legend (see full descriptions on page 53):

OP – Outstanding Performance | EP – Excellent Performance | SP – Successful Performance |

NI – Needs Improvement | U – Unsatisfactory

Manager should list any additional department-specific tasks or behaviors that he/she wishes to include as employee performance success factors. Employee should self-assess his/her performance for each item their manager has listed below. Manager then rates employee for each performance success factor following the employee's self-evaluation. Supporting comments, added by the manager, are encouraged. Any categories ratings of OP-Outstanding Performance or U-Unsatisfactory require supporting comments.

DEPARTMENT-SPECIFIC SUCCESS FACTORS: Include any additional department-related success factors that are critical and should be considered for evaluation.

| | EMPLOYEE | MANAGER |
|-------|----------|---------|
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |
| _____ | _____ | _____ |

COMMENTS:

LEADERSHIP, MANAGERIAL, AND SUPERVISION PERFORMANCE SUCCESS FACTORS*

Required for those who supervise or manage other staff members

Using the same ratings legend (see full descriptions on page 53):

**OP – Outstanding Performance | EP – Excellent Performance | SP – Successful Performance
| NI – Needs Improvement | U – Unsatisfactory**

Employee should self-assess his/her own performance in each category below. Manager then rates employee following the employee's self-evaluation. Supporting comments, added by the manager, are encouraged. Any categories ratings of OP-Outstanding Performance or U-Unsatisfactory require supporting comments.

| | OVERALL RATING | |
|---|-----------------------|----------------|
| | EMPLOYEE | MANAGER |
| <p>LEADERSHIP</p> <p>Engages in strategic thinking that supports the College's mission. Appropriately supports the diversity mission of the College. Models highest standards of professionalism, collegiality, personal integrity, and ethical behavior. Demonstrates drive and initiative. Adapts well to shifting demands and changing priorities. Demonstrates leadership by taking action despite risk or discomfort.</p> | <p>_____</p> | <p>_____</p> |
| <p>MANAGERIAL</p> <p>Responsively manages overall accountability for assigned work group. Uses good judgment and makes sound decisions on a timely basis. Manages conflict constructively and copes well with frustration and stress. Analyzes routine and complex issues effectively. Positively influences others by articulating a compelling message, negotiating persuasively, and garnering support. Implements employee Performance Management Program effectively.</p> | <p>_____</p> | <p>_____</p> |
| <p>BUDGETARY & PLANNING</p> <p>Plans, implements, and manages change effectively. Allocates resources according to priorities. Works within budgetary constraints. Develops and leverages innovative ideas into cost savings, revenue opportunities, and/or improved services. Learns continuously and keeps abreast of latest developments in his/her field.</p> | <p>_____</p> | <p>_____</p> |
| <p>SUPERVISION</p> <p>Challenges, inspires, and appreciates staff members. Establishes trust with staff and fosters open communication channels. Coaches staff members to improve work performance. Recognizes and addresses staff development needs. Establishes positive working relationships within the campus community. Promotes collaboration and teamwork. Delegates assignments appropriately to staff members.</p> | <p>_____</p> | <p>_____</p> |

OVERALL RATING – PERFORMANCE SUMMARY

Manager selects an Overall Rating of employee’s job performance (check appropriate category below) and adds supporting comments. Employee may add comments after review discussion.

| | | |
|-----------|--------------------------------|---|
| OP | OUTSTANDING PERFORMANCE | Performance is clearly outstanding and consistently exceeds the requirements and the expectations of the job. Based on job responsibilities, the employee makes extraordinary contributions to the College’s mission. |
| EP | EXCELLENT PERFORMANCE | Employee demonstrates performance beyond expectations for the position. Performance is well above the competent level. |
| SP | SUCCESSFUL PERFORMANCE | Employee performance meets the criteria and standards of job performance. Performance is steady, reliable, and is maintained with appropriate supervision. |
| NI | NEEDS IMPROVEMENT | Meets some, but not all, expectations. Performance is marked with inconsistency demonstrated through periods of poor job performance. Performance requires improvement or further development. |
| U | UNSATISFACTORY | Performance is unacceptable and does not meet standards. Major improvement is needed. |

MANAGER COMMENTS:

EMPLOYEE COMMENTS:

PERFORMANCE GOALS AND OBJECTIVES FOR UPCOMING YEAR

Goals are established at the time of the annual review (or at a subsequent meeting) for the upcoming year. Comments may be added at the mid-year review meeting. Goals should be specific, measurable, achievable, relevant, and timely.

GOAL: _____

HOW WILL GOAL BE ACCOMPLISHED?

COMPLETION TARGET DATE: _____