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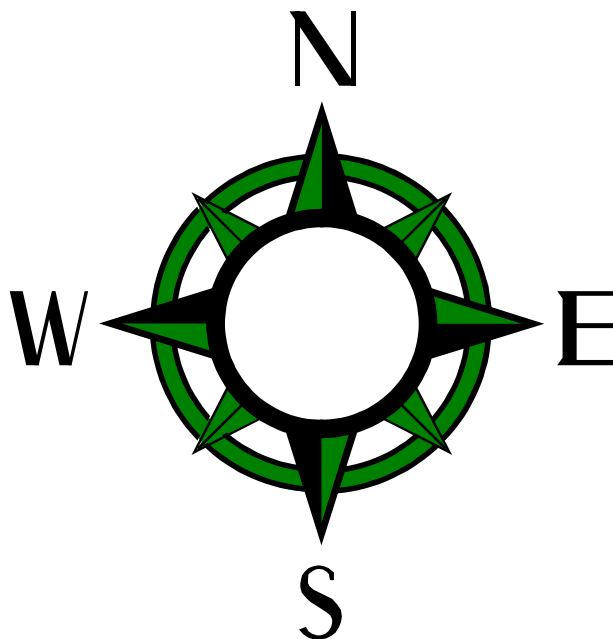
# Overview of Performance Management

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Taking Steps to Enhance  
Individual & Organizational  
Effectiveness

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### **Performance Management**

Performance management is the process through which supervisors and those they lead gain a shared understanding of work expectations and goals, exchange performance feedback, identify learning and development opportunities, and evaluate performance results.

It is through this process that organizations are able to create and sustain a workplace environment that:

- Values continuous improvement
- Adapts well to change
- Strives to attain ambitious goals
- Encourages creativity
- Promotes learning and professional development
- Is engaging and rewarding for employees

### What Employees Want (According to Gallup Research)

Through research efforts to discover what motivates employee engagement, the Gallup organization identified the following 12 factors. According to these findings, most professionals want:

- 1. To know what's expected of them**
2. To have the tools they need to do their work
3. To have the opportunity to do what they do best every day
- 4. To receive recognition and praise for doing good work**
5. To be seen and valued as people (not just job functions)
- 6. To have someone encourage their development**
7. To have their opinions count
8. To feel that what they do is important and worthwhile
- 9. To have coworkers who are committed to quality work**
10. To have positive work relationships
- 11. To talk about their progress and receive feedback**
- 12. To have opportunities to learn and develop**

At least half of these (those in bold) can be directly achieved through the performance planning and communication process.

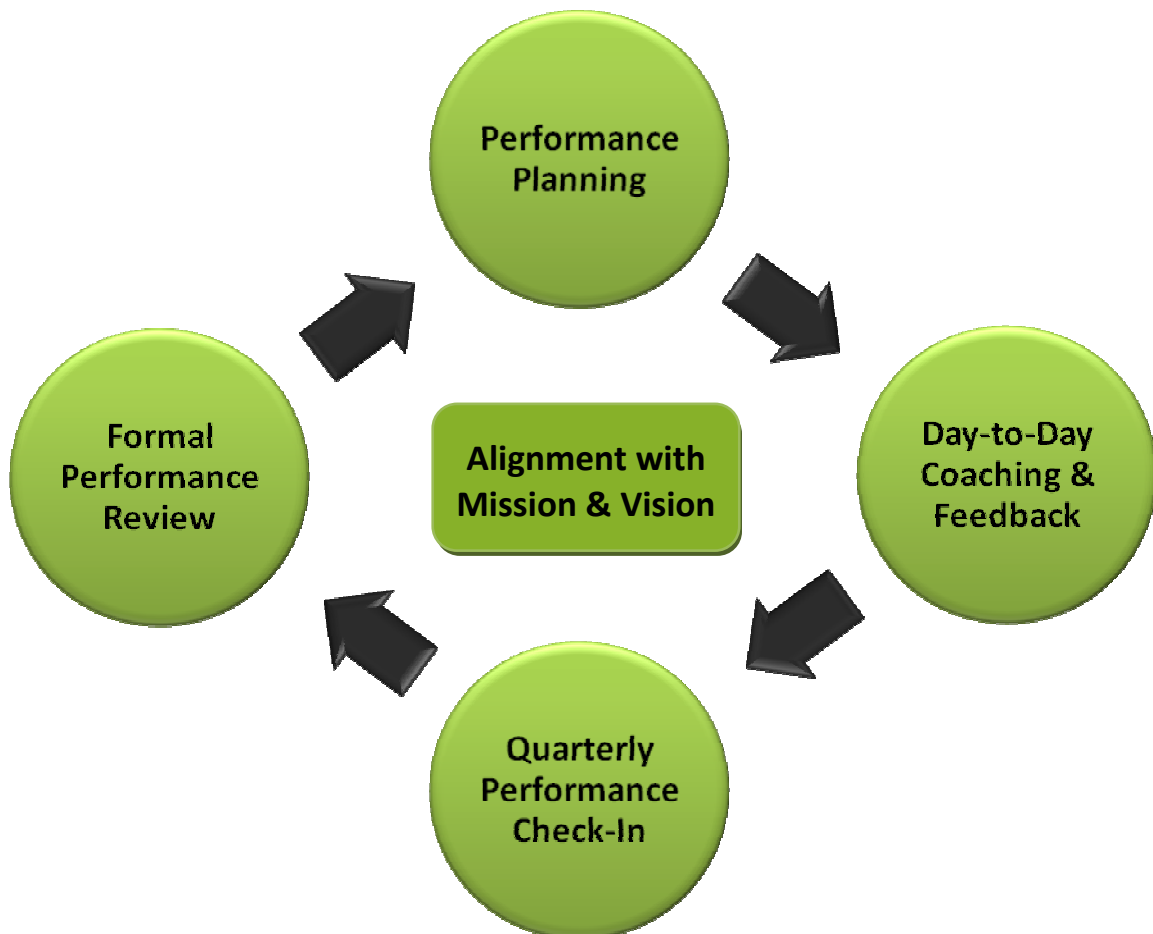
## The Performance Management Process

The performance management process provides a vehicle through which employees and their supervisors collaborate to enhance work results and satisfaction. This process is most effective when both the employee and the supervisor take an active role and work together to accomplish the following:

1. **Performance planning:** Plan for the coming year in the following areas:
  - Clarify the expectations and standards for the job
    - *what's expected of someone in this role*
    - *what standards must be maintained*
  - Set performance goals
    - *what will the employee strive to achieve in the coming year*
  - Set development goals
    - *what knowledge/skills will the employee work to develop or enhance in the coming year*
2. **Day-to-day coaching and feedback:** Discuss performance on a regular basis (not just during formal reviews). Share feedback about the employee's successes and areas needing improvement. Seek employee input about the work process and results.
3. **Quarterly Performance Check-in:** Have a "progress check" conversation at least once per quarter. Identify successes and needed improvements in each of the following areas:
  - Meeting expectations and standards
  - Achieving performance goals
  - Achieving development goals
4. **Formal performance review:** Meet annually to review feedback from the previous year, document performance outcomes and development results, and plan for the coming year.

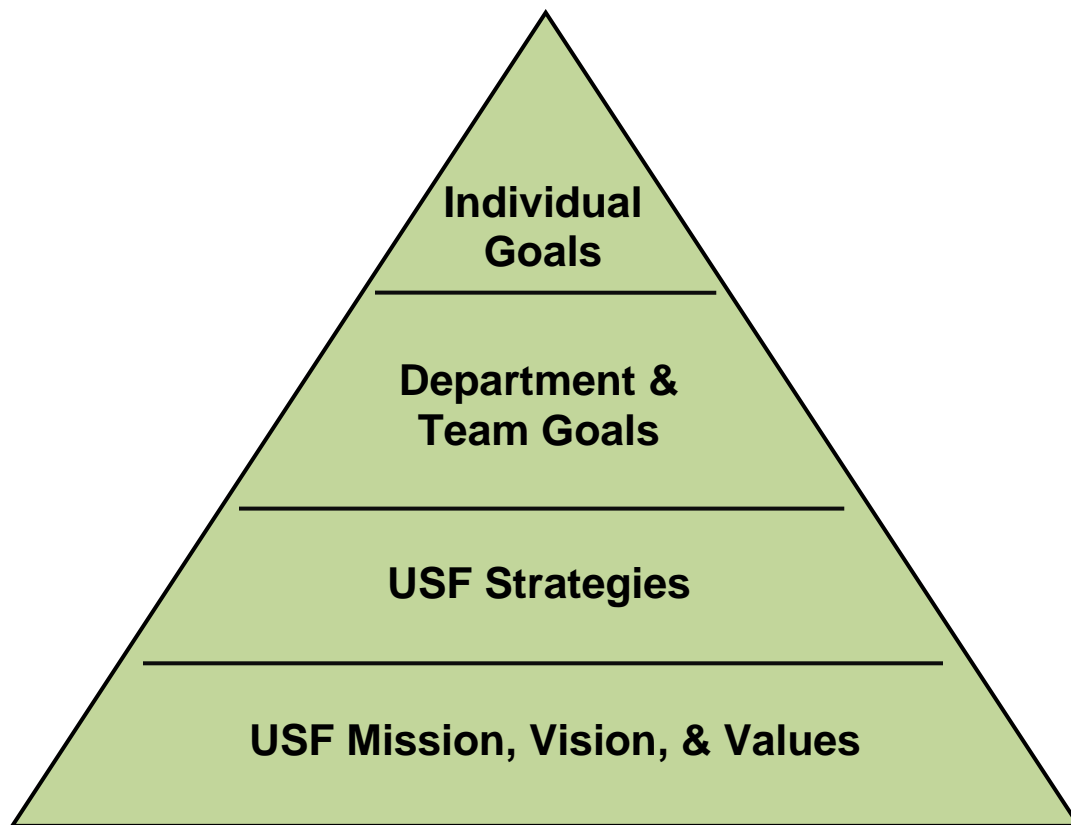
## The Performance Management Process

1. **Performance planning**
2. **Day-to-day coaching and feedback**
3. **Quarterly performance check-in**
4. **Formal performance review**



### Alignment with Organization Mission & Vision

Effective performance goals flow from and support the mission, vision, and goals of the team, department, and university.



By ensuring that the mission, goals and strategies of the larger organizational unit drive all performance measures and improvement initiatives, supervisors are better able to help employees see how their efforts contribute to the achievements of the team, department and university.

## Performance Planning

### 1. Ensure a mutual understanding of the job responsibilities

- What is the nature of the role?
- What are the primary responsibilities?

### 2. Ensure a mutual understanding of standards and expectations

- What expectations and standards must be met?
- What are the quality measures that will be used to determine success?
- What are the customer expectations that must be met?
- What are the time expectations?

#### Tips for clearly communicating expectations and standards:

- Be specific – avoid overly broad and ambiguous terms

##### **Too broad:**

*Provide good customer service*  
*Be courteous and friendly*

##### **Specific:**

*Smile and make eye contact when a new customer enters the room*  
*Return all client calls within 24 hours.*

- Check to see what clarification is needed
- Ask for a summary to ensure understanding

*I want to be sure I covered everything. Would you tell me what you've heard so far so I can be sure I didn't miss anything?*

## Performance Planning (cont.)

### 3. Set performance goals

Performance goals define what results the employee will strive to achieve by the end of an established time period. Effective goals meet each of the 5 SMART criteria described below:

#### SMART Goals



**Specific:** clearly defines a single outcome or result



**Measurable:** states observable criteria for success



**Ambitious:** challenging and inspiring



**Reachable:** realistic given the skill-level and available resources



**Time-bound:** has a specific deadline for achievement



## Day-to-Day Coaching & Feedback

### 1. Discuss performance often

Effective coaching occurs through conversation. Below are key characteristics of effective performance coaching and feedback conversations:

- They are dialogues, not monologues
- They occur regularly, rather than being reserved for formal reviews
- They are balanced – address strengths as well as concerns
- They are collegial and conducted with respect, both in words and non-verbal behavior

### 2. Provide appreciative feedback – recognize successes

- Pay attention – catch people in the act of doing great work
- Attach praise to meaningful results
  - Instead of just “*good job*”, try “*the solution you offered helped us to avoid a potential problem and exceed the client’s expectation.*”
- Thank people in person
  - Use other forms of acknowledgement to supplement an in-person thank you, not to replace it.
- Celebrate successes
  - Celebrate small wins along the way to your goal. This can re-energize and motivate continued commitment to success.

## Day-to-Day Coaching & Feedback (cont.)

### 3. Address concerns and solve problems

Best Practices:

- Be timely
- Don't overreact to an isolated incident
- Address a manageable number of concerns at one time
- Be specific and give examples
- Focus on observable actions and their impact
- Focus on problem resolution rather than blame
- Engage in a dialogue – not a monologue
- Collaborate to accurately define the problem and brainstorm solutions

Conversation steps when addressing performance concerns or problems:

1. Present your view of the problem. If the problem is a concern you have about the other's actions, use the Action-Impact format to present your concern.

**Action-Impact Format:**

- State the **Action** (behavior) you observed
  - Describe the **Impact** the action had on results
2. Invite and hear the other's view of the problem.
    - Listen non-defensively and seek to **understand** the other's perspective
  3. Identify a definition of the problem that is agreeable to both of you.
  4. Brainstorm possible solutions.
  5. Agree on a strategy to implement.
  6. Schedule a follow-up meeting to check the success of the strategy.

## Quarterly Performance Check-In

Adopt the practice of meeting at least once per quarter to review goals, progress, and results, acknowledge successes, and identify improvement opportunities.

### 1. Check progress

What's working well?  
What's not working?

### 2. Make mid-course adjustments where needed

What changes would enhance performance or progress toward the goal?

The tools below can help to facilitate performance check-in conversations:

#### Plus/Delta

+	△
What went well?	What's not working?
What to continue doing?	What to change/do differently?

#### Stop – Start – Continue

<b>STOP</b> What we're doing now that we should stop doing
<b>START</b> What we're not doing now that we should start
<b>CONTINUE</b> What we're doing now that we should continue doing

## Formal Performance Review

During annual performance reviews managers and employees work together to:

- Review the employee's work achievements and challenges over the past year,
- Establish work expectations and performance goals for the coming year, and
- Define the employee's professional development goals and learning plan for the coming year.

The forms utilized in this process will assist managers and employees in preparing for performance review discussions. Although these forms are helpful and necessary tools, the filling out of forms is not the primary goal of a review. Reviews are most effective when forms are used to help prepare for a conversation and document the outcomes, rather than as a *substitute* for conversation.

### Preparing for the Review

- Review the following:
  - Position description (PDQ)
  - Standards and expectations
  - Past year goals and objectives
  - Other documentation gathered during review period
- Request the employee complete **Performance Self Assessment**

Ask the employee to prepare by reflecting on the following:

- Successes and challenges over the past year
  - Additional support he or she would like from you
  - Additional skills/knowledge he or she would like to develop or enhance
- Complete **Performance Evaluation** form
  - Come prepared to share your perceptions and feedback about the employee's performance over the past year, including:
    - Key achievements and successes
    - Performance concerns and/or challenges
    - Changes and enhancements that you recommend (or require)
    - Learning opportunities relevant to the employees job function that would help enhance current skills or develop new ones
    - Key employee strengths and contributions over the past review period

## Formal Performance Review

### Conducting the Review

1. Share your feedback about the employee's performance
  - a. Include information about strengths and successes as well as areas needing improvement
  - b. Communicate the rating you've assigned for each of the performance indicators
  - c. Provide rationale for each rating - Include behavioral examples whenever a rating is above or below "achieves."
2. Invite and listen to the employee's assessment of his/her performance
3. Ask the employee to share his/her feedback for you, including ideas for improvement
4. Re-enter the performance planning phase
  - a. Define expectations for the coming year
  - b. Set performance goals
  - c. Identify learning and development goals

### Best Practices:

- Schedule evaluation meetings **in advance**
- Use a private, **interruption-free** setting
- Allow **sufficient time** for discussion
- Consider in advance how to present information
- Set tone for respectful, adult-to-adult interaction
- Start and end on **positive note**

## Summary of Resources

### 1. Training Workshops

- Performance Feedback & Evaluation
- Effective Employee Coaching
- Blueprint for Success: Career Development
- Workplace Communication

### 2. Individual Coaching (Employee Relations)

3. Performance Management Website: <http://www.usf.edu/human-resources/training-and-development/performance-management/index.asp>

## Contact Information

Human Resources  
<http://www.usf.edu/hr>  
974-2970

Employee Relations  
<http://www.usf.edu/HR/emplrel.html>  
974-2970

Training & Professional Development  
<http://www.usf.edu/human-resources/training-and-development/index.asp>  
974-3090