PERFORMANCE MANAGEMENT TOOLKIT

University of California, Berkeley

COrWE
Center for Organizational and Workforce Effectiveness

Performance Management Executive Briefing

As part of UC Berkeley's commitment to excellence, we must support the excellence of our staff. The process of Performance Management allows managers and supervisors to use tools and processes to enable staff to do their best work. This is accomplished through the communication of clear goals and objectives, making sure staff have the training, tools and resources necessary to do their jobs effectively, providing continuous coaching and feedback, summarizing progress and performance in an annual performance review, and supporting staff in their development.

This Performance Management Toolkit is designed to give an overview of guidelines, tools, and resources available to support you in this important aspect of people management. Contact COrWE, HR, or your department HR Manager for further assistance.

Contents

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Resources and Tools

FORMS AND GUIDELINES FOR PERFORMANCE MANAGEMENT AT UCB

HR Website:

- Performance Management   http://hrweb.berkeley.edu/performance-management
- Guide to Managing Human Resources   http://hrweb.berkeley.edu/guides/managing-hr
- Manager and Supervisor Toolkit   http://hrweb.berkeley.edu/toolkits/managers-supervisors
- Manager and Supervisor Development   http://hrweb.berkeley.edu/learning/manager-supervisor
- On-Line Career Development Guide   http://hrweb.berkeley.edu/learning/career-development

HR Forms:

http://hrweb.berkeley.edu/forms

- Employee Self-Assessment
- Performance Evaluation and Planning Forms (all versions)
- 360° Evaluation form

ADDITIONAL INFORMATION, TRAINING, AND OTHER RESOURCES

UC Learning Center:

Log in via BLU at http://blu.berkeley.edu, UC Learning Center

- **KEYS Classes in Performance Management Track:**
  http://hrweb.berkeley.edu/learning/manager-supervisor/keys/workshop-schedule
  - Performance Management at UC Berkeley
  - Communicating Goals and Expectations
  - Coaching for Performance and Development
  - Delegation Skills
  - Conducting Difficult Performance Conversations
  - Taking Disciplinary Action
- **Manager Excellence Resource Center (MERC):** Ready-to-use guides, tools, templates, and e-learning modules to help you develop and coach employees, manage employee performance, and navigate career transitions
  - Search for *MERC*.
    Select *MERC Login Link*
    Follow the instructions to log into the site and access program resources.
    Search for topic of interest.

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e-Learn:

- **Job Aids:**
    - Log in via BLU at http://blu.berkeley.edu, e-Learn
      Select Category *Job Aids*
      Search for *Performance Management*
    - Here is a selected list of appropriate Job Aids:
        - Reinforcers
        - Using Key Motivational Strategies
        - Addressing Engagement Drivers
        - Elements of a High-Retention Organization
        - Determining Performance and Potential
        - Performance-management Guide
        - Performance Reviews
        - The Keys to Identifying Performance Gaps

- **Books 24x7:**
    - Log in via BLU at http://blu.berkeley.edu, e-Learn
      Select *Books24x7*
      Search for *Performance Management*
    - Here is a selected list of appropriate titles:
        - *Improving Employee Performance Through Appraisal and Coaching, Second Edition* by Donald L. Kirkpatrick
        - *Performance Management: Key Strategies and Practical Guidelines, 3rd Edition* by Michael Armstrong
        - *The Performance Management Pocketbook* by Pam Jones
        - *Performance Management: Tapping Your Organization's People Potential* by American Productivity & Quality Center
        - *Putting Management Back Into Performance: A Handbook for Managers and Supervisors* by James Webb

Guiding Principles

- The individual's goals should be aligned with the unit goals, and the unit should be evaluated as well as the individual

- Ratings should be given based solely on performance

- An employee's position should not dictate whether they have more or less access to the highest level of ratings; supervisors should be able to articulate to employees at all levels what it takes to achieve excellence, to accomplish major goals, and to make unique contributions worthy of the highest level ratings

- Goals and expectations can be modified during the evaluation period as long as they are communicated to, and discussed with, the employee in advance of the annual assessment; changes should be made in writing

- Performance expectations include all job outcomes:
    - Impact of employee interactions on clients
    - Services and products delivered by the employee
    - Processes used and policies followed
    - Organizational values demonstrated on-the-job

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The Performance Management Cycle

Phase 1: Planning

- Phase 1 assumes use of the individual's job description and unit goals as the foundation for setting goals and expectations
- Set SMART goals:
    - S   Specific
    - M   Measurable
    - A   Attainable
    - R   Relevant
    - T   Timely

- Goals should be achievable in one year; If a goal is multi-year, it should be broken down into milestones of a year or less

Phase 2: Check-in (throughout the performance cycle)

- Observation: pay attention to your employees doing their job to notice when they need help, performance correction, or feedback
- Coaching: conduct formal and informal coaching on a regular basis
- Feedback: provide timely, specific, positive and constructive feedback in order to help your employees be successful
- Offering support: make yourself available to your staff and ask them what they need from you in order to be effective performers

Phase 3: Assessment

- The performance assessment summarizes the employee's contributions over the entire appraisal period (usually one year); it may occur as often as necessary to acknowledge the employee for accomplishments and to plan together for improved performance
- Much of the hard work of appraising performance should be carried out before the assessment meeting
- Hallmarks of an effective performance assessment:
    - A formal performance review should take place yearly, at minimum
    - The review should be in written form
    - The assessment must include employee and other input
    - The review should summarize the year's feedback, documentation and progress
    - No surprises!

The Role of the Supervisor

Supervisors are Responsible For:
- Communicating the unit goals to employees
- Assessing the unit performance as well as individual performance
- Developing performance expectations with the participation of employees
- Communicating (and documenting) throughout the performance management cycle about employees' goals, performance, and development
- Recognizing and rewarding successful performance throughout the cycle
- Coaching for improved performance and taking corrective action as necessary
- Ensuring that employees have the tools, resources, and training and development needed to carry out their duties successfully

Supervisor Preparation:
- Set a date and time in advance that is mutually convenient for both you and the employee
- Be sure there is enough time allotted (1 – 1.5 hours) and that it will be free from interruptions
- Select a place that is private and provides a confidential environment
- Provide the employee with tools for self-assessment and gather results
- Gather documents, including the job description, goals and objectives from last year, the prior year's evaluation
- Consider the employee's areas of responsibility and goals set at the beginning of the evaluation period, what he/she has done well and where improvement may be needed; what you are doing and what you can improve to support the employee
- Review 360° assessments and employee's self-assessment
- Prepare a draft performance evaluation to go over with employee

360° Degree Feedback

- 360° degree feedback is feedback that you collect from an individual's direct reports (if they have any), colleagues or co-workers, customers, and anybody else that the individual would have a lot of work contact with; invite your employees to submit names of appropriate respondents to you

- This enables you to get a well-rounded perspective on the quality of an employee's work and their interpersonal effectiveness

- 360° feedback MUST be confidential; you are compiling summary comments and looking for trends and patterns

- The best use of 360° degree feedback is for development purposes, NOT for performance ratings or compensation decisions

- Coaching should be provided to the individual on how to interpret their feedback and how to use it for development planning

- Questions should measure specific behaviors and key competencies associated with job performance and success; they should be asked in behavioral terms and be actionable

- The more feedback gathered, the better the data (information will be more reliable)

- Research shows that performance, morale, and engagement can actually decline if a 360° process is not done well or the feedback is negative and the employee gets upset; manage the process carefully

- A basic 360° form using UCB competencies is available at http://hrweb.berkeley.edu/forms

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Tips for Work Goals and Development Plans

Work Goals are projects or assignments related to the individual's specific job that help meet unit/department goals and have specific measurements and deadlines. What, exactly, is this person supposed to accomplish in the next 6 months? Year?

Writing Next Year's Goals:

- Look at current and new unit goals
- Look at employee's functions and how they fit
- Look at employee workload
- Consider employee's interests and strengths
- Provide a stretch if applicable

Examples of work goals:

1. Produce documentation of our business processes by end of Q2 2012
2. Develop a customer satisfaction survey and disseminate it to at least 70% of our external customers by April 15, 2012
3. Process all pending invoices within 30 days of receipt

Development Plans are goals an individual has for their performance improvement or professional development. They have related activities, resources, and timelines associated with each goal.

Writing Development Goals:

- Supervisor and employee create the professional development plan together
- Goals can focus on:
    - Performance improvement
    - Performance enhancement
    - Professional skill development related to needs of unit/department/school
    - Career mobility
- There should be at least one, but not more than 3 development goals at any one time

Examples of development goals:

1. Attend training on Dreamweaver in order to learn how to create webpages; look at LMS for available classes; completion date 3/31/12
2. Participate on the OE Bear Buy project team in order to learn project management skills; 25% of job through end of FY 11-12
3. Sign up as a mentee in this year's BSA mentorship program in order to gain more perspective on the organization's priorities and career opportunities

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Conducting the Performance Review

The assessment discussion is simply a continuation of the momentum established throughout the year. The key is to set a tone that is open and productive, and to ensure that by the end of the discussion both supervisor and employee have reached an understanding on any issues that require further discussion, timelines for completion, objectives that need to be met for the next year, and review points.

- Prepare, Prepare, Prepare!
- Choose the proper setting and set the right tone for the discussion
- Welcome the employee
- Review draft together and finalize at subsequent meeting
- Listen and take notes
- Maintain good eye contact and attentive posture
- Reflect back your understanding of what s/he has said
- Don't interrupt, but ask questions only for clarification
- Don't be too quick to pass judgment
- Focus on the expectations that have been set at the beginning of the review period
- Focus on specific behaviors and results, not personality
- Ask for the employee's opinions and ideas about how to approach work or resolve problems
- Focus on the future, not on the past
- Emphasize strengths, as well as areas that need improvement
- Be candid and be prepared to discuss questionable items
- Support the employee's effort to improve
- Set goals, expectations and standards for the next evaluation
- Agree to meet regularly with the employee during the evaluation period
- Discuss development plans with the employee
- Summarize the session and end on a positive note