

PERFORMANCE MANAGEMENT OVERVIEW

HUMAN RESOURCES, TITLE IX, &
EQUAL OPPORTUNITY



Westfield
STATE UNIVERSITY

PERFORMANCE MANAGEMENT OVERVIEW

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WHAT IS PERFORMANCE MANAGEMENT?

Performance management is designed to promote ongoing communication between a supervisor and employee. Good performance management is collaborative and developmental. Through performance management, the supervisor and employee gain a shared understanding of work expectations and goals, exchange performance feedback, identify learning and development opportunities, and evaluate performance results.

Through this process, organizations are able to create and sustain a workplace environment that:

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

WHAT DO EMPLOYEES WANT IN THE WORKPLACE

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

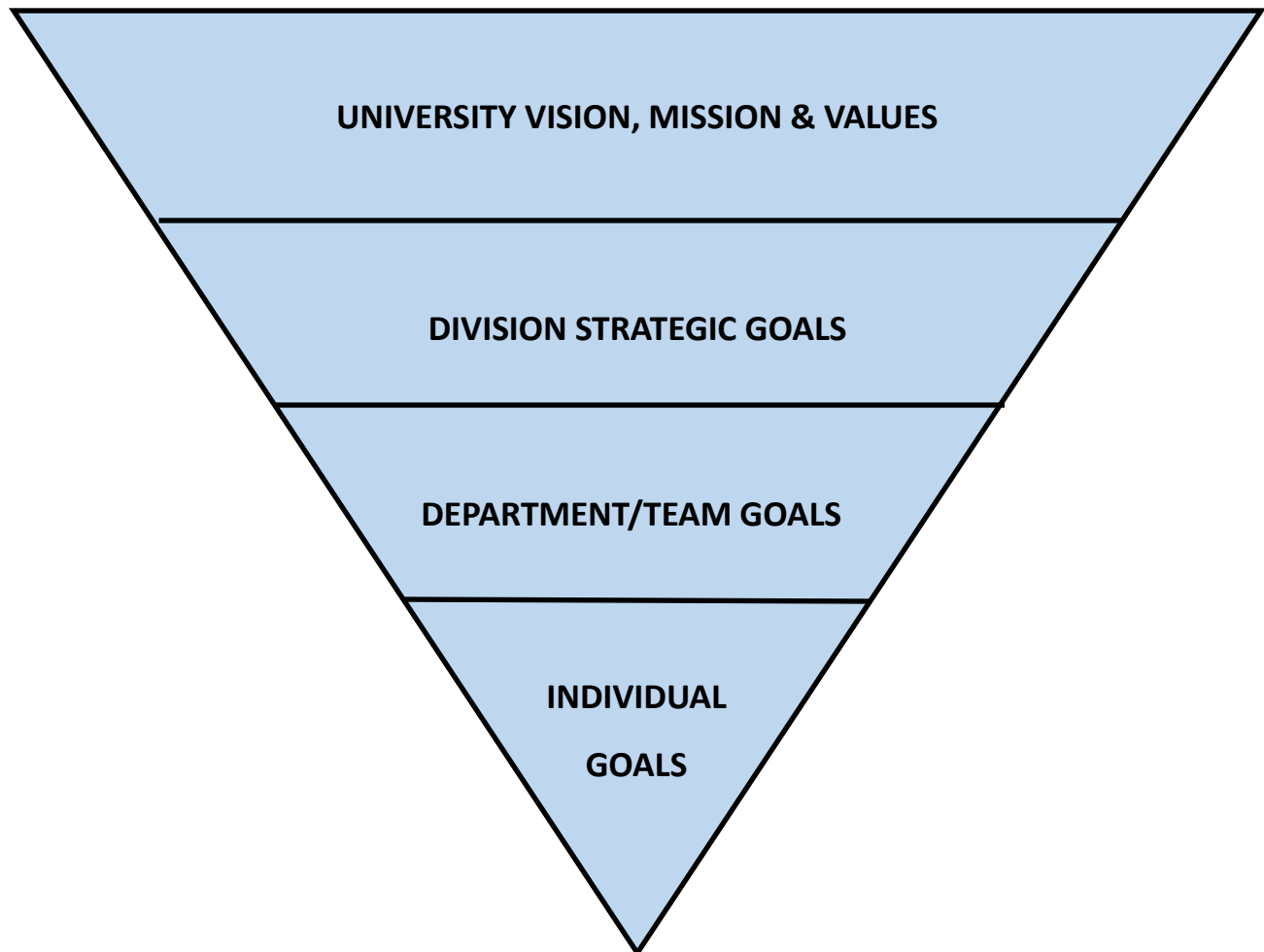
- 1. To know what's expected of them***
2. To have the tools they need to do their work
3. To have the opportunity to do what they do best every day
- 4. To receive recognition and praise for doing good work***
5. To be seen and valued as people (not just job functions)
- 6. To have someone encourage 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***

The items in *italics* can be directly achieved through performance planning and ongoing feedback & coaching.

PERFORMANCE MANAGEMENT OVERVIEW

ALIGNMENT WITH VISION, MISSION & VALUES

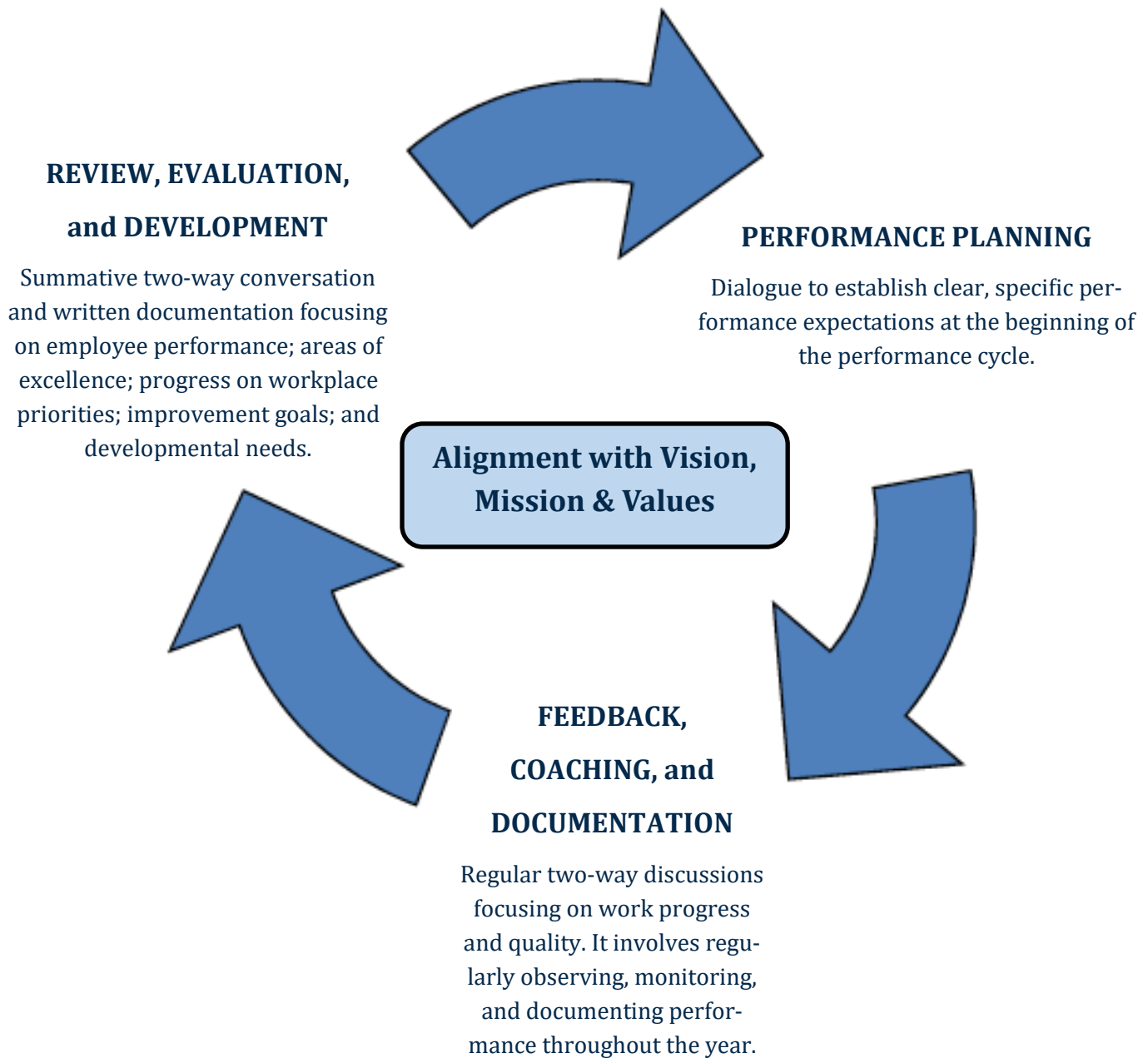
Effective performance planning establishes goals that align with and flow from the university, division, and department vision, mission & values.



When individual goals are driven by the organization's vision, mission, values, and strategic plans, supervisors are better able to help employees see how their efforts contribute to the achievements of the team, department and university. Likewise, the employee is given context and purpose (i.e. "their why") for the work which is connected to increased engagement and fulfillment.

PERFORMANCE MANAGEMENT OVERVIEW

PERFORMANCE MANAGEMENT CYCLE



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

Clarify expectations and job standards

- what's expected of the employee 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 and/or skills will the employee work to develop or enhance in the coming year

2. Feedback, Coaching, and Documentation

Discuss performance on a regular basis

- Share feedback about the employee's successes and areas of improvement
- Seek employee input about the work process and results.
- Identify successes and improvements in each of the following areas:
 - ⇒ Meeting expectations and standards
 - ⇒ Achieving performance goals
 - ⇒ Achieving development goals

3. Review, Evaluation, and Development

Meet annually to review feedback from the previous year

Document performance outcomes and development results

Plan for the coming year

5 STEPS TOWARD GOOD PERFORMANCE PLANNING

1. SMART Goal Setting—To achieve anything in the long run, you need to have a vision and a goal. And to successfully fulfill your goals, you must have a good plan. Good goal setting will provide a roadmap of the path you need to follow. Make sure that the goals are realistic and achievable. Set the goals and objectives in such a way that everyone in the company understands them. More obtainable goals will make the employees engaged, productive and improve their performance.

2. Proper Job Responsibilities—If your employees are not put in the right job, their performance will suffer. It is necessary that you provide them with an accurate job description. Its absence creates a significant roadblock in your performance planning process. To avoid this, you need to be sure about the roles you have to offer to your employees.

To assign an employee their responsibilities, you need to:

- Assess their strengths and weaknesses
- Understand their skills and competencies
- Be aware of their core interests

You can also hand them out the organizational chart that showcases their influence on the organization. This will make them more aligned with their job and increase their work effort. One of the advantages of providing proper job responsibilities is that it builds high performing teams that can achieve their objectives without any hassle.

3. Focus on Employee Development—According to VantageCircle, nearly 59% of employees have had no training and must self-teach any necessary job skills. That's a high number of employees who didn't receive basic or formal training during their onboarding. To address such discrepancies, you must keep a close watch on employee development.

To make sure that the employees do not miss out on development opportunities, you need to:

- Have a proper program that teaches the basic skills
- Assess the need for upskilling periodically
- Encourage employees to invest their time in their choice of extracurricular activities
- Design a good and future proof career development plan
- Make sure to conduct periodic performance reviews

5 STEPS TOWARD GOOD PERFORMANCE PLANNING

4. Provide Necessary Tools and Resources—Without the help of the necessary resources and tools, accomplishing a task is difficult. For instance, to complete a website-related task, you need a good internet connection and a computer. In that same way, while planning, you need to include the workforce's necessary tools and resources to do their daily tasks. It is an essential part of any organization. And as a leader, you must emphasize on finding the right tool that suits your needs.

To figure out what the employees need, you have to:

- Conduct spot based surveys
- Hold one-on-one conversations with the employees regarding their problems
- Understand their perspective on how work needs to be done

This will create a sense of value in your employees. In return, employees will become more loyal and dedicated to their work.

5. Facilitate Mentorship—To enhance the performance of your employees, they need proper guidance and mentorship. Therefore, it is one of the critical steps in your planning process. As a leader, you need to make room for a mentorship program that will help employees to follow the right path. It will also help them to figure out the areas for improvement.

With the appropriate supervision, your employees will enhance their performance and increase their productivity. To do that, you need to:

- Assign senior-level executives for the new recruits
- Hand out manifestos that will describe their overall contribution
- Structure the long term goals that will help them improve their decision-making abilities
- Support the employees whenever they face difficulties
- Regular follow-ups to keep of their progress

Moreover, for successful mentorship, make sure that the experienced people are compatible with the employees. If you miss out on that crucial aspect, there are chances that conflict might happen. In return, it will affect the relationship between the peers and hinder their ability to work.

PERFORMANCE MANAGEMENT OVERVIEW

SMART GOALS

S

Specific



Who, what,
where, when,
why

M

Measured



You can't
improve what
you don't
measure

A

Achievable



Challenging but
not impossible

R

Relevant



Closely
connected to
the objective

T

Timed



A completion
date holds you
accountable

GOALS

SMART is an acronym that stands for **Specific, Measurable, Achievable, Realistic (variations can also be Reachable or Relevant), and Timely (or Time-based)**. By fulfilling these criteria in your goal setting, it makes them easier to attain and gives tangible results.

What are the benefits of setting SMART goals?

There are several benefits to using this framework in goal setting. These include:

- Providing direction to achieve objectives
- Encouraging action on established goals
- Clarifying ideas
- Focusing efforts and resources while keeping the process organized
- Greater attention to details that will help you achieve goals
- Planning and preparing for what's ahead
- Helping understand the "why" behind goals
- Increasing motivation towards achieving goals

SETTING SMART GOALS

How do you set a SMART goal?

You can set a SMART goal by following and making sure you meet the criteria of each letter in the acronym. With these 6 steps, you will be well on your way to setting – and achieving – a SMART goal:

1. Decide on your broad, overarching goal

This can be as simple as deciding, “I want to get a promotion at work”. The outcome of this step is to have a general idea of what you want to achieve. By doing so, you are able to further narrow it down using the framework in the following steps. Apply the following steps so that you can take your broad goal and turn it into a SMART goal.

2. Be SPECIFIC

Vague goals are hard to follow as you never clarify exactly what you need to do to achieve them. For this reason, it is easy for these goals to get overlooked and forgotten. Your goal should be clear and specific. To do this, be sure to think about the five “W” questions:

- Who: Who is responsible and involved?
- What: What exactly do you want to be accomplished?
- When: When do you want to achieve this goal?
- Where: Where does this goal take place?
- Why: Why do you want to achieve this goal?

3. Make sure your goals are MEASURABLE

The next step is to make your goal measurable. If a goal is not measurable, it becomes hard to track progress and stay motivated to achieve it. It is helpful to have certain milestones as part of the goal and a way to assess how far you are in achieving it. To do so, make sure you answer the following questions in your goal setting:

- How much/many?
- How will you know when it is accomplished?
- Are there any benchmarks on the journey to reaching the goal?
- When does the goal begin?
- What can I do today to work towards it?
- What can I do two months (you can substitute with any time frame, ex: two weeks, six months, a year) from now?

SETTING SMART GOALS

4. Determine if your goal is **ACHIEVABLE**

Ensuring your SMART goal is achievable is necessary. This will help you recognize if the goal is within your capabilities and how to work towards it. To determine if a goal is achievable, you can think about these questions:

- Do you have the needed resources and time to reach the goal?
- If not, what do you need?
- Has this goal ever been accomplished before?

5. Keep your goal **REALISTIC**

Make sure your SMART goal is realistic. You know best what is realistic for your career or personal life trajectory, so keep that in mind. Ask yourself these questions:

- Is the goal reachable?
- Can you commit to achieving the goal?
- Is this the right time?
- Is this goal worth achieving to you?

6. Ensure that it is **TIMELY**

Every SMART goal should have a target start and end date to keep you on track. This helps you stay organized and make sure that the goal stays at the forefront of your day-to-day instead of being lost after setting it. Timely goals will answer these questions:

- When does the goal begin?
- What can I do today to work towards it?
- What can I do two months (you can substitute with any time frame, ex: two weeks, six months, a year) from now?
- When does the goal end (what is the deadline)?

Tips for Effective Employee Performance Coaching



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 o 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.

COACHING, FEEDBACK, AND DOCUMENTATION

3. Address concerns and solve problems

- 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:

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

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

PERFORMANCE MANAGEMENT OVERVIEW

COACHING, FEEDBACK, AND DOCUMENTATION

The Coaching Feedback model is a silver bullet for any conversation about improving performance or behavior. The most effective feedback people can receive is the feedback they give themselves. This framework encourages people not only to examine their challenges and shortcomings, but also to identify their strengths and achievements while planning a constructive way forwards.

The key to building trust in a relationship is to take a coaching approach: asking instead of telling, seeing people's strengths more than their limitations, treating staff with respect and, in general, engaging emotional intelligence. Where trust is currently low, even if a manager learns the coaching approach, it will take some time to build the levels of trust required for feedback to be valued.

The questions below are guidelines to a series of areas to be explored, and can be modified to suit a particular context, culture, or style of communication:

- **What would you like to achieve out of this session/meeting?**
- **What did you notice about your performance?**
- **What went well/what challenged you?**
- **May I tell you what I liked?**
- **If you could do it again, what might you do differently?**
- **What will it be like when you can do that?**
- **Can I make a suggestion?/Can we discuss ...?**
- **What will you do about it in the future?**

COACHING, FEEDBACK, AND DOCUMENTATION

Feedback and coaching go hand-in-hand when supervising employees. While feedback alone has been shown to be insufficient in creating performance change, feedback coupled with coaching can have significant impact on employee effectiveness.. It is important to differentiate feedback from coaching while recognizing the complementary nature of both approaches.

Feedback and Coaching: The Differences

Feedback

- Can increase self-awareness
- Focused on past behavior
- Reactive to a situation
- Usually one-way communication to receiver
- Telling or advice oriented
- Goal is to get receiver to act a certain way
- Focused on data and information
- Telling
- Controlled by giver
- Describes consequences
- Requires minimal training and skill
- Something managers must do
- Does not impact performance

Coaching

- Increases likelihood of change
- Focused on future behavior
- Proactive to obtain a developmental goal
- Only effective as two-way dialog
- Inquiry oriented
- Goal is to get recipient to explore options
- Focused on unlocking potential
- Engaging
- Controlled by receiver
- Explores alternatives
- Requires training and specialized skills
- Something direct reports must want
- Can impact performance

PERFORMANCE MANAGEMENT OVERVIEW

REVIEW, EVALUATION, AND DEVELOPMENT

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 the 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 based on employee's union affiliation
- 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

REVIEW, EVALUATION, AND DEVELOPMENT

Conducting the Review

1. Share your feedback about the employee's performance
 - a. Include information about strengths and successes as well as areas of 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 at least one week 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

Supplemental Materials

AFSCME Documents

AFSCME Evaluations Memo from AVP of Human Resources

AFSCME Evaluations FY23 Evaluation Cycle

Appendix G Performance Evaluation for Classified Employees

APA Documents

APA Evaluation Schedule

Appendix C APA Bi-Annual Report to Administrative Area Supervisor (employee self-evaluation)

Appendix D APA Annual Performance Narrative Form (supervisor evaluation)