
LOYOLA UNIVERSITY MARYLAND

Performance Management Program Guidebook

*Performance Management
Program Guidebook*

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Introduction

What's Important About this Program?

In order for this program to be effective, all supervisors and employees have to receive training. **Employees** need to understand the performance management program to improve their performance; **supervisors** need to learn how to improve their coaching and motivating skills. **All employees** need to learn how to give and receive feedback effectively.

- * Loyola's Mission: As reflected in the Loyola University Vision and Values, Loyola will strive to provide all non-faculty employees with tools and development opportunities to excel at their jobs and improve the campus community. Employees have to take responsibility for their performance, professional growth and development.
- * Roles and Responsibilities: *Employees* are expected to become an active partner, taking responsibility for their performance and professional development plan. The *supervisor's* role is to give the employees the tools to do the job and to offer ongoing feedback to ensure continued progress toward achieving University and employee goals.
- * Vision and Values: Emphasis is placed on how each employee's job fits within Loyola's Vision and Values and how each individual carries out the Mission of the University.
- * Rating Scale: The Overall Performance Level rating should be consistent with the recommended range for merit increase.
- * Improved Performance: Loyola University's performance management program will help achieve individual, Division, and University-wide results by:
 - opening up the lines of communication so employees and supervisors are working together to achieve the same goals;
 - providing the tools and training to identify and reward good performance;
 - allowing for additional input if an employee has more than one supervisor; and
 - planning and improving future performance.

Every aspect of the performance management program is intended to facilitate communication about work performance.

What Is Performance Management?

Performance management is a set of strategies and actions designed to develop and utilize all of the individual talents that exist in Loyola University to achieve optimal results.

Performance management is an ongoing process that facilitates the planning, coaching and evaluating of employee performance. Employees play a major role in their own performance planning and development. Performance management gives supervisors and employees the tools to succeed.

Many organizations *appraise* performance – evaluating performance results and behaviors. Performance management allows organizations to *manage* performance with employees planning, monitoring and developing expected results and behaviors throughout the performance period. The performance review is just part of the performance management process.

Specifically, the performance management process involves:

- * a meeting between supervisor and their employee at the beginning of the performance cycle to plan performance, set goals and plan development;
- * providing continuous feedback throughout the period on performance, goals, directions and changing expectations;
- * reviewing actual performance against expected performance at the end of the period; and
- * developing plans to maintain and/or improve performance for the next period.

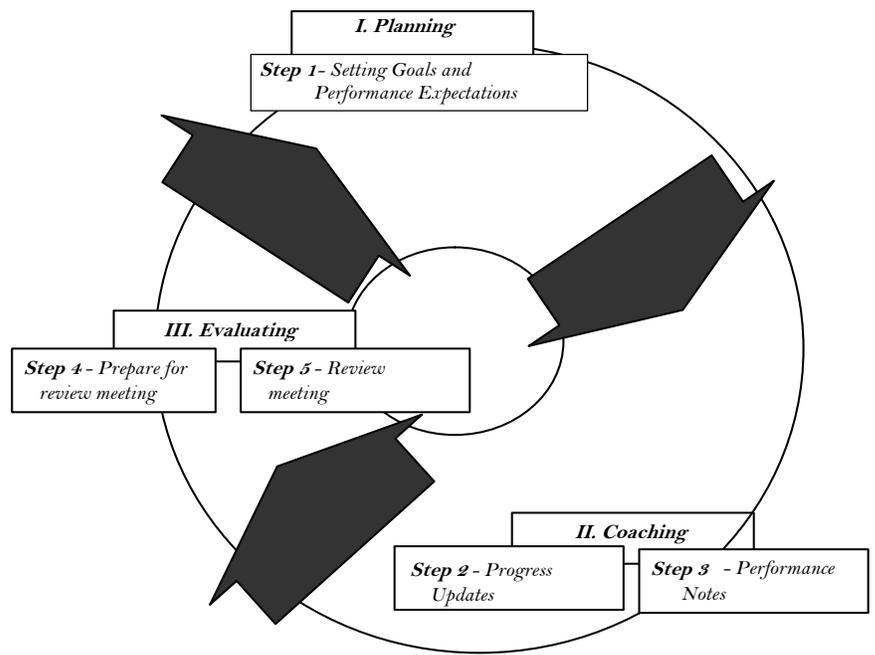
An effective performance management program will result in improved operations for Loyola University, more highly satisfied and motivated employees and better outcomes and services.

Employees and their supervisors are mutually responsible for successful performance management and professional development.

Employees must understand and accept that they are responsible for their own performance and professional development plan.

How Does Performance Management Work?

Performance management is an ongoing process. It operates as a three phase continuous cycle – Planning, Coaching, Evaluating – where the last phase (Evaluating) of the previous cycle leads directly into the first phase (Planning) of the next cycle. In fact, once an employee has gone through the first cycle, Phase III (Evaluating) for the previous cycle and Phase I (Planning) for the next cycle can occur at the same time.



The cycle or evaluation period for each employee runs from performance review to performance review. However, interim performance discussions can be conducted at any time, either at the supervisor's discretion or at the employee's request.

Performance Management Schedule of Activities

Step 1: Setting Goals and Performance Expectations

Who is involved: Supervisor and Employee jointly establish goals, standards and other performance expectations for the coming year.

Form/tool: Loyola's e-Appraisal form.

When: At the beginning of the performance year.

Step 2: Progress Updates

Who is involved: Supervisor and Employee schedule joint meetings throughout the year.

Form/tool: Loyola's e-Appraisal form and Journal Notes

When: Ongoing throughout the evaluation period – assess performance, determine if goals are still applicable, adjust expectations appropriately, identify changes to job responsibilities.

Step 3: Performance Notes

Who is involved: Supervisor and Employee maintain individual performance notes.

Form/tool: Loyola's e-Appraisal system Journal Notes.

When: Ongoing throughout the evaluation period.

Step 4: Prepare for review meeting

Who is involved: Supervisor and Employee, independently.

What form/tool: Loyola's e-Appraisal system:
(a) e-Appraisal Journal Notes
(b) Optional employee self-appraisal
(c) e-Appraisal form

When: Prior to review meeting

Step 5: Review Meeting

Who is involved: Supervisor and Employee.

What form/tool: Loyola's e-Appraisal form

When: At employee's review meeting

Return to Step 1: Set Expectations for Next Year

Phase I: Planning

Goals/Performance Standards (sample)

- **Too General:** fix program modules
- **Better:** test and debug programs and program modules, integrate modules into larger systems, meet programming time frames, program functionality specifications
- “SMART” Goals
 - **What:** Test and debug; integrate
 - **To what:** Programs and program modules
 - **How much:** Within functional specifications
 - **When:** Within program time frame

Step 1: Setting Goals and Performance Expectations

The planning process begins with the performance planning meeting. Remember, once an employee completes the very first cycle of the performance management process, this meeting can be combined with the period-end performance review meeting. Therefore, the annual performance review and goal setting discussion occur at the same time. The supervisor and employee meet to plan the employee’s work for the upcoming period.

1: Goals/Performance Expectations – This refers to specific goals, standards, performance expectations and/or professional development goals that will be accomplished in the upcoming performance period. These can include plans to develop performance attributes/competencies listed on the appraisal form.

- The supervisor and employee should develop “SMART” goals for the coming period which are:

Specific -	Goal defined is exactly what should be achieved
Measurable -	Achievement of the goal is clearly observable
Acknowledged –	Goal is understood by participants
Reasonable –	Goal is consistent with business objectives, not too difficult or too easy
Tied to a timetable –	Goal is to be achieved within a specific time frame

When the goal is complete, the following questions should be answered:

- “What” is to be done
- “To What”
- by “How Much”
- in what time frame “When”

1a: (Optional) Weighting – Indicate the relative importance of each goal/performance standard by assigning weighting factors; total weights must equal 100%.

1b: Additional Information – List specific action plans, interim deadlines, available resources, etc. as appropriate for each goal/performance standard.

Next Steps

- * Agreement regarding these goals/performance standards is reached with the completion of this discussion.
- * Goals/performance standards created this period will automatically appear on the performance evaluation form for the next review period.

Phase II: Coaching

Step 2: Progress Updates

Process

Discussions, either formal or informal, should be held throughout the year to discuss progress toward goals or changes in responsibilities.

- * Significant modifications should be noted in the goals/performance standards section.

What is coaching??

Coaching is:

- * Helping the employee to be as successful as possible through support and mentoring
- * Observing and monitoring performance throughout the period
- * Providing regular, timely feedback, both positive and negative
- * Documenting performance, both positive and negative

One of the **Supervisor's** management responsibilities is to help manage the performance, actions, behaviors and results of employees throughout the performance period. One of the ways of managing performance is through coaching.

Tips for Supervisors on Observing Performance		
Observe what?	Observe when?	Observe how?
✓ Important job duties	✓ Regularly	✓ First-hand
✓ Productivity, not activity	✓ Special projects	✓ Review of work product
✓ Performance, not personality	✓ Critical incidents	✓ Consult with others
		✓ Balanced and fair

Positive Feedback (examples)

- *Too general:* “Good work, well done.”
- *Better:* “Thanks for putting together the section on the ABC report. I know we can count on you to meet the tight deadlines.”
- *Too much (insincere):* “You are so wonderful. You always do such a great job, like developing the new training program. We are so lucky to have you here – we’d die without you!”
- *Better:* “Thanks for your hard work in developing the new training program, working to coordinate all of the information from so many sources. You did a great job. Thanks.”

What is feedback?

Feedback is giving timely and specific information about job performance that includes praise or constructive criticism.

The feedback between supervisor and employee can be either formal (given in a scheduled meeting) or informal (in casual conversation). *Keep in mind that employees are also responsible for asking for feedback from the supervisor and others.*

Advantages of continuous feedback:

- It’s a powerful way of **motivating people**.
- Giving feedback helps **build relationships**.
- It provides **documentation** that helps identify employee strengths and manage their weaknesses.
- Timely feedback **enhances results**.

Positive feedback is just as important as negative. It can build the employee’s confidence, self esteem, commitment, and loyalty.

The most common statement from employees when discussing non-monetary rewards and recognition is “a simple thank you from my boss would go a long way.” People want feedback; they especially want to be appreciated for a job well done. Similarly, supervisors need to hear from their employees when they perform well.

Find situations when there is an opportunity to give positive feedback (to an employee or supervisor) and make sure to follow through.

When giving positive feedback, remember to choose a place and medium which are comfortable for the receiver. For example, some people are embarrassed by public acknowledgments and, therefore, might prefer a one-on-one thank you rather than an announcement in a department meeting.

Tips and Techniques

If a supervisor is giving negative feedback, it should always:

Be private and confidential

Be immediate (the sooner the feedback, the more effective it is in influencing behavior)

Be specific, refer to specific behaviors, outcomes

Include something positive

Include the opportunity to improve performance

Give feedback on performance, not personality

Steps to follow when delivering negative feedback:

Categorize and specify performance problem

Listen and summarize employee response

Offer your view

Apply strength demonstrated to weakness observed

Specify appropriate performance

Review downside of no change

Develop goal and action plan

What if the employee is not meeting expectations at the time of their performance review?

In most instances, working with a poor performer throughout the period, by providing feedback and discussing development needs, will result in successful performance.

In some cases, due to aptitude, attitude, or personal reasons, coaching and feedback will not result in successful performance. The supervisor will need to create a performance improvement plan and use the progressive disciplinary process to document the performance deficiencies.

To be consistent and to avoid bias, **supervisors** should to keep notes on employees' performance. Reminder: acknowledging good performance is important. Documentation can be shared with the employee when recorded and/or during the review meeting.

Step 3: Performance Notes

Reasons to Keep Performance Notes
To keep accurate records, not influenced by recent events or poor recall
To acknowledge good performance
To express concern with continued poor performance
To help in the coaching process of improving performance
To help in assessing performance results

The Importance of Performance Notes

Though not required, performance notes serve as a valuable resource during the Coaching and Evaluating phases. By documenting throughout the period, both a supervisor and an employee can rely on a written reference when completing the evaluation, rather than on just memory. Performance notes, therefore, help:

- * offer a more objective and complete review by minimizing the bias toward recent events
- * make it easier to recall specific performance
- * save time during the review by having a written reference
- * support the feedback process by providing specific examples of performance

Properly recorded documentation should be:

- * timely
- * specific
- * based on performance – not personality
- * related to performance standards and policies and procedures
- * positive as well as constructive

Employees should maintain a record of their accomplishments as well to remind themselves and their Supervisors of their performance during the period. Employees may want to keep a portfolio handy in which to place reminders of their achievements, including such things as thank you letters, etc.

Phase III: Evaluating

Step 4: Prepare for review meeting

The performance management cycle concludes (and the next begins) with the review meeting. Keep in mind, however, that at any time during the period, the supervisor and/or the employee can request a meeting to discuss and review the employee's performance to date.

Since employees play an active role in planning and developing their performance, they should also be involved in the planning and evaluation process. Employees are encouraged to complete a self-assessment documenting their performance for the past period.

The Employee's Role

Because employees play a critical role in planning, developing and evaluating performance, they have a responsibility to prepare for the review meeting as well. To get ready, an employee should do the following:

- * Complete a self-assessment using examples to describe your level of achievement against the established goals and what you have done to demonstrate and/or develop in the Performance Attributes/Competencies.
- * Be prepared to discuss actual outcomes relative to expected outcomes.

The Supervisor's Role

To prepare for the review meeting, the supervisor should:

- * Finalize the meeting date, time and place with the employee about two to three weeks ahead of performance review date.
 - Be sure to allow enough time for thorough discussion and to address employees' questions/concerns.
 - Do not change the schedule or allow interruptions unless absolutely necessary. Changing the date or attending to other business during a review meeting sends a negative message to the employee that the review meeting is not important.
 - Realize that a late review negatively impacts employee morale.
- * Review and finalize the documentation in the employee's file as well as any other relevant documentation. Remember, documentation can come from others – additional supervisors, peers, etc. – as well.
- * Seek input from others, e.g., additional supervisors. It is also often appropriate to request information from peers, other departments, or subordinates.
- * Encourage the employee to complete a self-assessment. Employees can work on their self-assessments during work hours as long as it does not interfere with the performance of their job duties. The employee's assessment is provided to the supervisor as input for the evaluation. However, the supervisor's performance assessment must be in addition to the employee's self-assessment.
- * Submit employee appraisal to next level of supervision for approval.

Barriers to Accurate Performance Assessment

Halos and horns	Allowing outstanding or unsatisfactory performance in one area to influence assessments in another
Dramatic incidents	Looking only at extraordinary behavior, whether good or bad, and ignoring all other efforts
Recency	Assessing according to most recent events; not considering performance throughout the period
Past record	Being influenced by previous performance and assuming the employee will continue to perform the same, with neither improvement nor decline
Similarity	Assessing those like us higher than those who are different
Leniency	Not wanting to hurt someone's feelings
Central tendency	Assuming everyone is about average; avoiding having to admit someone's performance is better than another's to avoid morale problems
Strictness	Assuming no one is perfect and being overly critical
Contrast	Comparing the jobs rather than evaluating performance against standards
Lack of information	Making evaluations with incomplete information
Laziness	Unwilling to thoroughly analyze employee's performance
Avoidance	Reluctant to discuss problems

Tips for Supervisors

No surprises.

In the meeting, give employees time to find the words.

Don't assume you know what an employee might say, let them say it.

Clarify and summarize your understanding of what the employee is saying.

Step 5: Meet to discuss the review

After the end of the performance period, the supervisor schedules and holds a review with the employee.

Examples

Open Ended Questions

Confrontational: "Where were you when this happened?"

"Why didn't you report it?"

"Why do you keep making this same mistake?"

Better: "What makes you think you are doing badly?"

"That's interesting. What leads you to believe you're doing well?"

"What barriers do you see to effective performance?"

The review meeting is an opportunity for open, two-way communication, setting the stage for mutual agreement, problem solving, and goal setting.

This discussion is based on shared perspectives with the supervisor asking open-ended questions while listening to the employee's issues, problems, and feelings. The purpose of a two-way conversation, with each side contributing its perspective, is to support the following outcomes:

- * To contribute to the success of the department and Loyola University.
- * To share an appreciation for the evaluation process.
- * To gain enthusiasm for the future.
- * To be valuable to both the supervisor and employee.
- * To add to the understanding of what needs to change.

During the discussion, cite specific examples describing behavior to support each performance area. The examples include positive and successful contributions as well as difficulties.

The meeting should be divided into two parts:

- * Reviewing past performance
- * Developing future performance

Reviewing past performance

The first part of the meeting should focus on reviewing the employee's performance for the just completed evaluation period. In effect, the supervisor and the employee "compare notes."

Together, discuss each section of the evaluation form. The supervisor and employee should also discuss the overall performance evaluation, identify strengths and weaknesses, and discuss development opportunities.

Setting Goals and Developing Future Performance

The second part of the review meeting is devoted to setting goals and expectations and developing future performance.

This marks a critical point in the performance management process as the view is **prospective** – what future results and competencies do we want to drive?

Specific goals/performance standards are then determined to support the expected outcomes.

At this point, not only has the performance management cycle for the period just ending been completed, but the performance planning phase of the next cycle has begun.

Summary of Performance Management

A good performance management program helps people be more effective in their jobs, resulting in a more successful place to work. Specifically, any formal or informal discussion on performance, if carried out well, can have a positive effect on everyone involved (supervisor, employee, department and Loyola University).

Key Points:

Highlights of Loyola University's performance management program include the following:

- * Both the supervisor and employee play an active role in the entire performance management process.
- * The Performance Evaluation Form is used to facilitate the process of communicating about work, performance, and professional development.
- * Conversations about performance are conducted frequently throughout the period, eliminating any surprises at the actual review meeting.
- * Each employee needs to develop the ability to analyze his/her job in terms of specific performance attributes.
- * The performance management process operates as a continuous cycle:

