# **Tools for Effective Performance Management**



# TABLE OF CONTENTS

Section	Page
How to Get the Most from the Formal Review Process	2
Six Key Actions to Prepare for the Review	5
Sample Forms	11
How to Deal with Different Types of Performers	27

## HOW TO GET THE MOST FROM THE FORMAL REVIEW PROCESS

### How to Get the Most from the Formal Review Process

The performance review, potentially the most powerful tool at a manager's disposal, is remarkably under-utilized. On the Hill, in particular, it can be difficult to set time aside to have the type of thoughtful discussion a review requires. In addition, Hill managers are often reluctant to "judge" another person, especially if that person is likely to disagree strongly. It's often easier to sidestep the real issues and simply go through the motions.

This is unfortunate. The performance review is one of the few times when both manager and employee can count on having the full attention of the other person. What better time to lay out those issues that really matter to both of them?

Allow plenty of time before the review for each of you to step back, to think about what's happened during the review period, and to figure out what each of you wants the future to look like.

Performance reviews are most productive when -

- They are a truly collaborative process
- Both people prepare ahead of time
- There have been several other discussions about performance throughout the year

#### To prepare the other person

- Explain the purpose of the review, the intended outcomes, and how the collaborative process will work.
- If you want the person being reviewed to solicit feedback from constituents and/or co-workers, agree on the process to follow and the people to be contacted. Often the people who interact with the person daily are in the best position to evaluate strengths and shortcomings. Be sure to allow enough time for the person to collect this information.
- Clarify how you and the person being reviewed will use input from others.

#### Guidelines for using input from others:

- Any input you use should be input you have brought up with the person in earlier discussions.
- Any input you happen to hear that you haven't previously shared with the other person should be set aside and used later for developmental purposes.
- Specify the areas you want the other person to cover in his or her selfevaluation.

#### To prepare yourself

Gather information:

- Review information about the person's performance that you have gathered and shared throughout the review period.
- Review any quantifiable data concerning results achieved toward pre-established goals, priorities, and standards (e.g., volume of work completed, accuracy rates, deadlines met).
- Review any notes you may have made to yourself throughout the year.
- Note specific situations in which the individual was particularly effective or ineffective in accomplishing organizational or group goals.
- Review feedback from constituents and co-workers.
- Note specific skills, knowledge, or perspectives the employee used in accomplishing results.

#### To prepare your core message

 Select the major responsibilities that you want to focus on in the review. Your core message consists of the two or three points you want the employee to remember throughout the next review period.

- Identify two or three competencies and/or areas for improvement or learning. Consider the person's key interests and developmental needs, as well as the organization's strategic needs.
- Organize specific examples to illustrate competencies or areas for improvement.

#### Experienced leaders say:

"This is your chance to help the other person focus on the most critical aspects of his or her performance. Don't confuse matters by presenting too much information on too many separate topics."

#### To prepare for sharing your perspective

 Determine how you will link your comments on major responsibilities to the core points of your message. As part of the preparation process, give the other person your review ahead of time. Better yet, exchange reviews.

- Identify potential areas of agreement and disagreement. Consider how the person may react to the areas of disagreement and think through how you will respond.
- Assemble specific examples to support your points.

# SIX KEY ACTIONS TO PREPARE FOR THE REVIEW

Key Action 1 – Prepare for Focused Discussionpag	je 6
Key Action 2 – Set Expectations for Discussionpag	e 7
Key Action 3 – Invite Staff to Share Self-Assessmentpage	? 8
Key Action 4 – Give Your Perspectivepage	9
Key Action 5 – Jointly Determine Next Stepspage	10
Key Action 6 – Summarize Core Pointspage	10

Prepare yourself and the other person for a focused discussion. Prepare the other person sufficiently in advance of the discussion.

#### Have you:

- Given the other person enough time to prepare the self-assessment?
- Decided what you will tell the person regarding the purpose of this performance review, why the review is important, what outcomes you would like, and why you need his or her active participation in the review process?
- Agreed on the process to follow and the people to be contacted if the person is going to be gathering feedback from customers and/or co-workers?
- Identified and provided a list of the questions you'd like the person to answer as part of his or her self-evaluation?

#### For example:

- In your view, how do your responsibilities support the organization's strategy?
- What do you consider your most important contributions and accomplishments during the performance period?
- What competencies (skills, knowledge, or perspective) have been most important in achieving those accomplishments?
- What feedback have you received from co-workers and/or customers?
- What do you need to do in order to enhance your performance further?
- How satisfied are you with your accomplishments during the performance period?
- What have you learned that can be applied in the future?
- How have I helped your performance during this performance period?
- What else could I have done?

Begin the session by setting expectations for your discussion.

#### Experienced leaders say:

"Explaining what will—and won't—happen helps put the other person at ease. It can also forestall discussions that might throw the review off track. So, for example, if you don't intend to discuss salary or ratings during the review, make that clear at the beginning."

- Review the purpose of the discussion.
- State the desired outcomes of the discussion—for example, a general understanding of how both you and the other person see that person's performance and, in addition, a plan for next steps.
- Review the agenda: the other person's self-assessment, your perspective, and next steps.

#### A Word about Ratings, Rankings, and Raises

In some organizations, the performance review is officially linked to pay increases or to required rating or ranking systems. Awareness of these links can distract the other person from participating fully in the session.

To eliminate or minimize these distractions, find out if it's possible to set aside discussion of pay increases, rating, or ranking for another meeting. If this isn't possible, clearly establish the exact point at which you will discuss these topics.

Invite the person to share his or her self-assessment.

- Ask the person to give the highlights of his or her self-assessment.
- Listen carefully and non-defensively; take notes. Save your comments for later, when you offer your own evaluation.
- Ask questions to understand fully and to gather information to support the core points of your message. Possible questions include:
  - How did you accomplish what you did?

# By inviting the other person to go first, you:

- Show that you value his or her ideas
- Increase the person's involvement in the session
- Help create a more relaxed atmosphere
- Give yourself the opportunity to adjust your own evaluation based on what the other person says
- ✓ What did you learn in the process?
- ✓ What factors contributed to your success?
- ✓ What kept you from reaching your goal in that area?
- ✓ Looking back, what would you have done differently?
- ✓ Do you see any pattern in what happened?
- ✓ What do you think others would say about what happened?

#### Experienced leaders say:

"If the other person isn't prepared, postpone the session if you can. Otherwise the review will become your session, you'll do most of the talking, and the other person will be unlikely to take much responsibility."

Give your perspective on the other person's performance.

- Focus on the core points you identified in Key Action 1, linking your comments to them. Don't read your evaluation or bring up every detail. Limit your points to the key ideas you want the other person to walk away with.
- Begin with areas of agreement.
   Highlight those that support the core points of your message.

If you've discussed performance issues throughout the year, there should be no real surprises in this discussion. Still, the employee will be eagerly—or anxiously awaiting your overall "take" on his or her performance. You need to put forth your best effort.

Move on to areas of disagreement, proceeding from minor to major disagreements.

#### To resolve major disagreements:

- Stick to the facts—both yours and the other person's.
- Bring up only those disagreements that relate to your core points. If a disagreement isn't important, don't mention it.
- Relate the disagreement back to the other person's goals or purposes, rather than to your opinion or to the way you would have handled a situation.
- Relate the disagreement to the organization's goals and strategies.
- Ask the other person to break the disagreement down into its component parts so you can discuss each one separately.
- Keep an open mind and be ready to revise your own opinion if that seems warranted.
- Strive for insight, not indictment.
- If the discussion comes to a standstill, schedule another session at a later time.

Jointly determine the next steps.

- Recap the opportunities for improvement and learning discussed during the review. Relate them to your core points.
- Agree on next steps. These might include:
  - Training or other developmental opportunities
  - New or expanded assignments
  - Ways you will support the other person
  - The setting or revising of specific or ongoing performance goals

### **Key Action 6**

Summarize the core points of your message

- Ask the other person to summarize the main points covered in the discussion.
- If necessary, restate the core points of your message.
- Recognize the individual's contribution, expressing in concrete terms how his or her work is making a difference.
- Express your confidence in the person's future performance.
- Offer your continued support.

### SAMPLE EVALUATION FORMS

Sample 1 – Goal-Oriented Performance Evaluation......page 12 Sample 2 – Weighted Trait and Skill Performance Evaluation...page 13 Sample 3 – Goal and Skill Performance Evaluation......page 16 Sample 4 – Office of House Employment Counsel......page 18

### SAMPLE 1

#### **Goal-Oriented Performance Evaluation**

(<u>www.cmfweb.org/</u> Management Tools/Performance Evaluations)

- 1) What are the key strengths you bring to your job?
- 2) Over the past year, what do you see as your most significant accomplishments to the goals of the office?
- 3) What were your major work priorities or goals for this year (either established by Member or expectations that you set for yourself)?
  - a) How well did you do in meeting these priorities or expectations?
  - b) What could you have done to better meet these priorities?
  - c) What could the office have done to better support your efforts to meet these priorities?
- 4) What ideas or projects did you propose and/or initiate over the past year?
- 5) What were your greatest disappointments or sources of dissatisfaction over the past year?
- 6) What are your weaknesses or areas for improvement that you would like to work on next year?
- 7) What support do you need from the office (Member, Chief of Staff, other staff, or other resources) to assist you in improving your performance in these areas?
- 8) How can the office promote your overall professional and personal development in the coming year?
- 9) What changes, if any, would you like to discuss in your job or your overall role in the office?
- 10) What performance goals or work priorities would you like to establish for next year?

### **SAMPLE 2**

#### Weighted Trait and Skill Performance Evaluation

(<u>www.cmfweb.org/</u> Management Tools/Performance Evaluations)

Name			
Job Title			
Supervisor			
Review Period From		То	
Purpose of Review:			
Introductory	Annual Performance	Other	
5 = Outstanding, cons peers and/or constitue 4 = Above Expectatio expectations. 3 = Meets Expectatio 2 = Below Expectatio	e in each job factor below sistently exceeds this job t nts as a leader and positiv ons, consistently meets an ns, consistently meets this ns, occasionally fails to m ent, consistently fails to m	actor expectatior ve example for ot od occasionally ex s job factor expect veet this job facto	ns and is recognized by hers. kceeds this job factor ctations. r expectations.
Section 1 - Job Perfo	rmance (60% of total sco skill factors from the staffer		Score Points
<ul> <li>Quality of work</li> <li>Quantity of work</li> <li>Negotiable Item</li> </ul>	goals		
•	and divide by number of	skills	
Average Score =			x 12 =

#### Comments

Form provided by Society for Human Resource Management (modified by CMF)

<u>Section 2 - Personal Performance (20% of total score)</u> Examples	Score Points
· Work Ethic	
· Writing Skills	
Interpersonal Skills	
· Flexibility	
· Communication Skills	
- Teamwork	
Constituent Service	
Negotiable Item	
•	
•	
·	
Add right hand column and divide by number of skills Average Score =	x 4=
Comments	

Section 3 - Personal Improvement (20% of total score)	Score Points
Examples:	
Timeliness of work	
Quality of work	
Professional growth	
<ul> <li>Developmental goals accomplishment</li> </ul>	
Negotiable Item	
•	
·	
Add right hand column and divide by number of skills	
Average Score =	x 4=
Comments	
pints from Section 1 + Section 2 + + Section 3 _	= TOTA
	(cannot exceed 10

Form provided by Society for Human Resource Management (modified by CMF)

#### **Developmental Goals for Next Review Period**

1		_
		-
		-
Signatures		
Staff	Date	
	Staff Comments	
Supervisor	Date	
Chief of Staff	Date	

Form Provided By: Society for Human Resource Management (and modified by CMF) 1800 Duke Street Alexandria, Virginia 22314 USA (703) 548-3440 FAX: (703) 535-6490 Email: shrm@shrm.org

### SAMPLE 3

#### **Goal and Skill Performance Evaluation**

(www.cmfweb.org/Management Tools/ Performance Evaluations)

The form has two major parts: Goals (what was accomplished) and competencies (how it was accomplished)

	What were the top 5 objectives/priorities/job responsibilities?	What was the goal?	What did you accomplish?	Overall Rating
1.				
2.				
3.				
4.				
5.				

Congressional Management Foundation

What competencies helped you achieve your goals? (e.g. writing skills, communication, problem solving, interpersonal skill, creating a team, analysis, planning, motivating others, perseverance, priority setting, time management, listening, learning on the fly, innovation management, integrity, assertiveness, creativity, conflict management, compassion, boss relationships and fairness to direct reports) These are some of the competencies that can help you succeed or cause you to fail. What are the most important 5-7 competencies for success on this job?

Competency	Why it contributes to success on the job	What did you accomplish?	Skill level rating
1.			
2.			
3.			
4.			
5.			
6.			
7.			

Looking at both objectives and how they were accomplished, what is your overall rating of this person? (1-5)

In general, why did you rate the person the above score?

#### PERFORMANCE EVALUATION FOR THE EMPLOYING OFFICE OF

PERSONAL INFORMATION:
Name:
Office:
Position/Title:
Date of Position Entry:
Date of Last Review:
Review Period:
From To

\*This form is provided courtesy of The Office of House Employment Counsel.

PERFORMANCE FACTORS: Review the following factors in relation to performance, making specific comments in order to justify the rating selected.

#### RATING

- 4 SIGNIFICANTLY EXCEEDS: Far exceeds job requirements, special recognition for extraordinary accomplishment which has a significant impact on accomplishing the mission of the office.
- 3 CONSISTENTLY EXCEEDS: Exceeds expectations for the position on a consistent basis throughout the year, going beyond the job requirements in achievement of objectives and/or responsibilities and use of critical skills.
- 2 FULLY EFFECTIVE: Meets job requirements. Performance is fully acceptable and results are achieved. Employee possesses the required skills and knowledge for the position and occasionally produces beyond expectations.
- 1 NEEDS IMPROVEMENT: Does not meet minimum job requirements. Performance is clearly below level of acceptability. Employee has not kept pace with changing requirements or performance has been deteriorating.
- 0 UNSATISFACTORY: Employee fails to meet the minimum expectations or requirements for the position. Improved performance is required for continuation in the position.

EM	PLOYE		/IE:		· · · · · · · · · · · · · · · · · · ·
DA	ΓE:				
RA	<u>ring</u>				
4	3	2	1	0	(1) Job knowledge: Degree to which employee demonstrates an understanding of specific job responsibilities, principles and techniques of position held. Responds to questions in areas of expertise promptly, accurately and with confidence. Keeps abreast of new developments in the field and makes suggestions on how this information can be applied to his/her job and other jobs.
4	3	2	1	0	(2) <i>Quality and performance of work:</i> Degree to which employee performs work in a consistent, accurate, reliable and dependable manner regardless of volume. Strives for quality work and sets high standards for own performance. Puts forth extra effort to ensure superior work.

EMF	PLOYE		/E:		
DAT	'E:				
4	3	2	1	0	(3) Judgment/Decision-Making: Able to obtain and assess pertinent information and arrive at accurate conclusions. Clearly isolates and defines problem areas; evaluates and identifies alternative solutions. Commensurate with delegated authority employee exercises good judgment in taking appropriate action and making sound decisions based upon available information. Makes routine decisions easily. Makes effective decisions under pressure.
4	3	2	1	0	(4) Focus on Results: Degree to which employee prioritizes and organizes tasks to maintain an efficient work flow; completes projects and assignments on time; and notifies supervisor of any unexpected delays
					or problems.
4	3	2	1	0	(5) <i>Initiative and resourcefulness:</i> Accepts responsibility for completion of work assignments and expends the effort and time to do the job well. Degree to which employee develops and/or carries out new ideas, methods or projects; keeps up to date on developments in field that enhance skills related to job responsibilities; and strives to improve working knowledge and improve methods.

EM	PLOYE	EE NAM	ИЕ:	-	
DA	TE:				
4	3	2	1	0	(6) Communication skills: Degree to which employee effectively communicates information and ideas both verbally and in writing to supervisors, staff and the public. Keeps others informed. Listens effectively and responds clearly and directly.
4	3	2	1	0	(7) Attendance and punctuality: Degree to which employee reports to work on time and adheres to organization's leave policies. Keeps office informed of activities and time scheduled outside the office during the workday.
4	3	2	1	0	(8) Interpersonal skills: Degree to which employee exhibits positive attitude toward supervisors, fellow employees, and other persons with whom the employee interacts and accepts tasks, assignments and projects. Able to focus on performance rather than personalities in relating to others. Resolves conflicts quickly and effectively. Assists and supports others to enhance overall group performance.

II. SUMMARY OF PERFORMANCE RATING				
PERFORMANCE FACTORS LEVEL				
1) Job Knowledge				
2) Quality and Performance of Work				
3) Judgment/Decision-making				
4) Focus on Results				
5) Initiative and Resourcefulness				
6) Communication Skills				
7) Attendance and Punctuality				
8) Interpersonal Skills				
TOTAL				
III. OVERALL LEVEL AND RATING*				
Significantly Exceeds (28-32 Points)				
Consistently Exceeds (22-27 Points)				
Fully Successful (12-21 Points)				
Needs Improvement (5-11 Points) Unsatisfactory (0-4 Points)				
* Any employee who receives either a "needs improvement" or "unsatisfactory" in any ratings category is ineligible for an overall rating of "significantly exceeds."				

IV.	GOALS FOR THE COMING YEAR Objectives/Responsibilities Use this section to establish objectives and responsibilities for the employee during the next twelve months, and update when necessary.		
	ACTIVITY(IES)		

employee to enhance critical skills to support the a and responsibilities in Section IV.	Number and list each activity. Describe what will be accomplished. Specify a		
ACTIVITY	COMPLETION DATE		
-			
Manager's Signature:			

Chief of Staff's Signature:

I have reviewed and discussed this performance evaluation with my supervisor, I am aware that I have the opportunity to comment on this performance evaluation in writing and that my comments will become part of the office record of this performance evaluation.

Employee Signature

Date

<u>v.</u>	EMPLOYEE COMMENTS:
	•

# HOW TO DEAL WITH DIFFERENT TYPES OF PERFORMERS

Sub-Par Performers	page 28
Star Performers	page 30
Solid Performers	page 32

### **Questions in Dealing with Sub-par Performers**

1. What problems do you have with sub-par performers?

2. How can you overcome these problems?

3. How do you reward sub-par performers?

4. How do you discipline them?

5. How do you motivate them?

6. What are the things they do well? Do poorly? How can you help them on the things they do poorly?

### Ideas to Help in Dealing with Sub-par Performers

- 1. Do they know they are a problem? Have you told them?
- 2. You need to be specific, descriptive and behavioral with them.
- 3. Tell them what the problem is and what it will look like if they are successful.
- 4. If they are really a problem, put them on a PIP (performance improvement plan).
- 5. The plan will tell them:
  - What the problem is;
  - What it will look like if they do the job well;
  - The action steps for improving;
  - A time frame for improving;
  - and the consequences if they do not improve.

Reward them for doing it right. Take further action if they do not sufficiently improve performance

- 6. Question: How much time are you willing to spend on them if they don't want to do the job? If they want to do the job, you should work with them. But remember your time issues and where you will get the biggest bang for you buck.
- 7. Bottom line:

If they are not doing the job:

(1) Put them on a PIP. If they don't improve, get rid of them if you can.(2) If you can't fire them, find something they can do more proficiently.

### **Questions in Dealing with Stars**

1. What issues do you want to raise with your stars (during the year and at appraisal time)?

2. How can you help them with these issues?

3. What are the best ways to reward stars?

4. What are the best ways to retain them?

5. How do you motivate stars?

#### Ideas to Help in Dealing with Stars

- 1. Tell them how well they are doing and how much they are appreciated. For the most part, it is the stars that make your office function well.
- 2. Utilize these people to their fullest potential. Remember if your stars are engaged to their fullest potential, your office will be running at very high efficiency. This is where you get maximum leverage. A few outstanding people will do more for your effectiveness than 10 solid employees!
- 3. Decide on the specific rewards you believe will be appreciated by the person. If it is more money, give them a significant salary increase and/or bonus. What else would the person like? (e.g., a personal thank you from the Member)?
- 4. Find ways to better utilize their strengths and promote their development.
  - Have them develop a development plan and discuss training that might help.
  - Look for ways to increase responsibilities or enlarge the job to make it more challenging and rewarding.
  - Look for ways you can use their strengths to help other staff or address other office problems or opportunities.
  - Develop career paths for your stars so they have a sense of where the job may take them and how you intend to help them get there.
  - Help them learn from their experiences. Ask them not only what they learned but how they learned it and how they are going to apply it in other situations. (I learned that if I really listen and don't stand there figuring out what I am going to say, I understand what the other person is saying much better and I almost never misinterpret.) If they (or you) do this on a regular basis, they will move ahead much faster in their learning.
- 5. Have them mentor another employee.

### **Questions in Dealing with Solids**

1. How do you motivate solids?

2. What are your biggest issues with solids?

3. What are the best ways to reward and retain them?

4. What problems do they have?

5. How can you overcome these problems?

### Ideas to Help in Dealing with Solids

- 1. Tell them how well they are doing. Give them more positive feedback.
- 2. They may be able to take on more in the areas they are good at.
- 3. Typically they can handle other projects that are in the same kinds of areas.
- 4. They may not do as well in completely new areas.
- 5. Help them become better learners and help them learn from their experiences.
- 6. They might be good mentors.
- 7. What motivates solids may be different than what motivates stars.