CONDUCTING MID-YEAR PERFORMANCE REVIEWS

Providing feedback on progress toward annual performance goals to positively impact individual, team, and University performance!

First-time evaluators may also review the more detailed orientation on the HU PEP by visiting Performance Evaluation Program.
This session will facilitate managers in:

- Providing employees with documented yet informal feedback on performance well in advance of the formal annual evaluation process.

- Creating opportunity to plan for improved performance within a timeline that allows employees to more positively their level of performance before the end of the performance cycle.

- Ensuring that each of one’s direct reports have measurable goals in place to accommodate year-end performance assessment requirements.
THE PERFORMANCE MANAGEMENT CYCLE

PERFORMANCE PLANNING
(prior to performance period)

EVALUATION & DEVELOPMENT
(end of performance period)

PERFORMANCE FEEDBACK
(ongoing w/coaching)

Where we are now
Setting the Stage

Key Points in the Mid-Year Process

PERFORMANCE REVIEW

• Give your employees ample notice of their scheduled meeting.

• Allow employees to present their self-assessment ...that should give a positive starting point for agreements (i.e., praise).

• Be prepared to give constructive feedback and coaching on areas where performance is below expectation.

GOAL SETTING

• Remember that goal setting is not a hard process; just KISS – Keep It Short and Simple.

• Don’t shortchange the time needed to do the job right the first time.

• Make certain you and your direct report have mutually agreed to well-developed goals.
FROM THE START:

- Goals for the current performance year should be in place for each employee... revisit the last page of last year’s PEP “Annual Objectives for Next Review Period”

- If no goals exist for the employee (e.g., situations of new hire, new position, change in supervisor), establish mutually agreed upon goals that can be accomplished by the end of the current performance year

FOR NOW:

- Determine if adequate progress on (or even completion of) established goals and performance indicators up to this point in the performance year

- Give appropriate feedback based on performance to date
  ... if under-performance is indicated, identify necessary actions to place on target ...if performance is at or beyond expectation, commend and make modifications where needed ...modify goals if priorities have changed
From **SMART** to **SMARTTEST**

Setting Performance Goals

- **Specific** (and concise)
- **Measurable**
- **Achievable** (challenging; action-oriented)
- **Realistic** (and relevant)
- **Timely** (deadline-driven)

**Engagement Perspective**
- **Engaging** (emotionally vested)
- **Shared** (stakeholder supported)
- **Tied to strategic priorities**

**Technical Perspective**
- **Established Baseline** (current - v - proposed performance)
- **Set Targets** (aligned to org. goals)
- **Tested** (valid/relevant as SMART)
Goal Setting

ELEMENTS OF EFFECTIVE GOALS

Quality, Quantity & Time are the factors or elements that help define the level of goal accomplishment.

WITH A SPECIFIC QUALITY
• Offset any negative impacts of the Time and Quantity elements and ensure that attainment of these elements does not negatively impact another part of the business.

IN A SPECIFIC QUANTITY
Objective must be:
• Stated in terms of “can it be seen and can it be measured” AND
• Aligned with key HU objectives.

WITHIN A SPECIFIC TIME
Achieve Objectives By a Certain Date
OR During a Stated Period
Sample SMARTTEST Goal

Performance Goal

- **S**pecific
  
  Develop and launch a single fully automated, web based performance management tool and tracking system

- **M**easurable
  
  ...by December 31, 2011

- **A**chievable
  
  ...for under $100,000

- **R**ealistic

- **T**imely

- **E**ngaging
  
  ...so the University has a robust tool (features and functionalities specified)

- **S**hared
  
  ...to support Performance Management and the ability to easily compile compliance and quality metrics.

- **T**ied to strategic priorities
Ensure that goals are well defined, valid, and relevant

**Quantity, Quality, and Time are your key elements**

<table>
<thead>
<tr>
<th></th>
<th>Quantity</th>
<th>Quality</th>
<th>Time</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Far Exceeded Target</strong></td>
<td><em>If the goal is completed and has a significant positive impact on 2 to 3 of the above elements.</em></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Exceeded Target</strong></td>
<td><em>If the goal is completed and has a significant positive impact on 1 of the above elements.</em></td>
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</tr>
<tr>
<td><strong>Met Target</strong></td>
<td><em>The goal is achieved as set yet with little significant impact on the above elements.</em></td>
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Assessing Performance Results

Example

"Develop and launch a single fully automated, web based performance management tool and tracking system by December 31, 2011 for under $100,000 so the University has a robust tool (features and functionalities specified) to support Performance Management and the ability to easily compile compliance and quality metrics."

<table>
<thead>
<tr>
<th>Far Exceeded Target</th>
<th>The solution exceeds the specs and requirements (QUALITY) and is launched in August, 4 months ahead of schedule (TIME) and at a cost of only $50,000 (QUANTITY).</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeded Target</td>
<td>The solution meets all the specs and requirements and is launched in August, 4 months ahead of schedule (TIME).</td>
</tr>
<tr>
<td>Met Target</td>
<td>The solution meets all the specs and requirements and is launched around December 31, 2011.</td>
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</table>
OVERALL RATING FOR Performance Action GOALS

Far Exceeded ... Exceeded
Met ... Partially Met
... Far Below

Factors Affecting Overall Ratings:

- Performance of Regular Job Duties
- Adherence to Stated Policies & Procedures
- Progress Toward Stated Performance Action Goals
- Feedback from customers, both internal/external
- Documented Performance Issues
- Documented Recognition of Good Performance
Plan the Meetings ... Dec 2011 – Jan 2012

Conduct the Meetings ... January 2012

Follow-up on the Process ... through April 2012

(in preparation for May-June Annual PEP assessments)

For up-to-date listing of Performance Year 2011-2012
Critical Dates, see HR website
The Review Process

Planning the Meeting

- Schedule individual meetings for each employee (asking employees to come prepared with a self-assessment based on established PEP goals)

- Complete your interim assessment of the employee for performance to date using the PEP form as your talking paper and the mid-year review form as your documentation

If no established goals are in place, be prepared with draft goals for discussion and mutual agreement during the mid-year review.
Start with a positive conversational tone by offering the employee to present their self-assessment...be attentive and LISTEN without intrusions.

Give your interim assessment by starting with points of agreement then progressing to any points of concern.

Hear employee feedback/response to your assessment to begin constructive dialogue (incl. commendation where warranted, specific improvements needed, and plans for remainder of the performance cycle).

Establish a performance improvement plan if under-performance is indicated (anticipated rating of below 2.5...mandatory if below 1.5).
Addressing Under-Performance

1. State the expected performance / behavior
2. Specify what must be done to bring performance / behavior to an acceptable level
3. Specify critical timelines for review / assessment of expected change or improvement
4. Specify what the consequences (+ / −) will be relative to compliance with cited expectations
5. If goal modifications are warranted, do so.
Addressing Over-Achievers

1. Commend performance to date

2. Discuss expectations for remainder of the performance year:
   ...addendum / modifications to goals
   ...stretch assignments

3. Explore development plan for growth
1. Retain the mid-year documentation in your office until replaced by formal assessment at end of performance cycle

2. Confirm with HR your completion of mid-year reviews (not later than February 10, 2012)

3. Continue providing informal feedback and follow-through on agreements reached at mid-year review for developmental plans
If You Need Assistance

Contact your

HR Business Partner
202-806-1299

or the

HU Career Transition Center
202-238-2562