Performance Management: Planning & Goal Setting

Office of Human Resources
Session Agenda

Introductions

Session Objective

Performance Cycle, Timeline, and Process

Components of Effective Performance Management
  • **Clear Goals**
  • **Ongoing Discussion**
  • Year-end Assessment: Written Document and Discussion

Tools

Process Reminder

Resources
Apply the tips and techniques from this discussion to create a productive year-end performance conversation.
Summer/Fall

- HR creates document and sends kick-off message to community
- Planning Phase/Goal setting for the year ahead (SMART Goals); draft performance and development goals
- Review/revise finalize with Manager
- Managers (as applicable)
  - Link individual goals to those of team/dept/org
  - Convey impact of performance to pay

Spring

- Complete Self-Evaluation
- Identify other reviewers for feedback
- Manager agrees/amends and seeks feedback from others (Individual/Multi-Rater/ Upward)
- Manager completes overall assessment
- Employee and manager discuss and finalize
- Managers (as applicable)
  - Convey final rating
  - Convey pay impact
- Manager marks document Complete in the system

Ongoing

- Practical Feedback (formal and informal)
- Course correct/continue
HLC Performance Management Cycle

September 30, 2016 – Goals Due HMS/SPH; October 31, 2016 – Goals Due HSDM

- **Standard Form** users – Staff and managers enter this information directly into PeopleSoft (Self-Service or Manager Self-Service>Performance Management>My Current or Team Current Documents). *Self-evaluation documents will be available April 5, 2017.*
- **Summary and Exception Form** users – Staff and managers capture FY17 goals in an electronic format that can be updated and referred to for the Assessment Phase in the spring of 2017. *ePerformance documents will be available April 5, 2017.*

December 2016 – February 2017 – Informal Interim Check-in Discussions completed

- This is a useful way to discuss and implement any adjustments to goal content and/or goal dates.

May 31, 2017 – SPH and HMS Performance Assessments completed
June 30, 2017 – HSDM Performance Assessments completed

- Timing will vary for some departments.
ePerformance Forms Review

**Standard Form**
- Goals
- Competencies
- 360/Upward Feedback
- Self-Evaluation
- Manager’s Overall Summary and Rating

**Summary Form**
- Goal Summary
- Competencies
- Feedback Summary (with Optional 360/Upward Feedback)
- Optional Self-Evaluation
- Manager’s Overall Summary and Rating

**Exception Form**
- Optional 360/Upward Feedback
- Optional Self-Evaluation
- Manager’s Overall Summary and Rating
Planning Phase

Planning

Assessing

Coaching
Why Set Goals?

- Focus **effort and efficient use of resources** to accomplish more
- Serve as **communication tool** to convey what needs to get done
- Enhance **mutual understanding** and buy-in
- Increase the likelihood desired **results** will be achieved
- **Challenge** and stretch ourselves to be even better
- **Engage** others and make work more meaningful
- Foster **alignment** within groups and among co-workers regarding goals
- Identify resources and **collaboration** needed to accomplish work
- Clarify **how** work is accomplished – the behaviors we use to achieve goals
Performance Goals vs. Development Goals

**Job Performance Goals**
Focus on what needs to be accomplished during the year including specific tasks, projects, or outcomes.

**Professional Development Goals**
Focus on how the work will get done; acquiring skills, competencies, and knowledge needed to perform the current job or prepare for expanded responsibilities.
## SMART Goals

<table>
<thead>
<tr>
<th></th>
<th>Specific</th>
<th>Measurable</th>
<th>Attainable</th>
<th>Results-oriented</th>
<th>Time-defined</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>S</strong></td>
<td><strong>What is the outcome expected?</strong></td>
<td><strong>How will goal achievement be evaluated?</strong></td>
<td><strong>What will it take to achieve the goal?</strong></td>
<td><strong>Does the goal focus on the right results?</strong></td>
<td><strong>By when is the goal to be achieved?</strong></td>
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- **S**: Clearly state the outcome what is to be accomplished.
- **M**: Provide the metrics to indicate level of completion.
- **A**: Discuss indicators, activities and resources that will contribute to successful performance.
- **R**: Describe the desired changes, improvements or output.
- **T**: Identify the target dates and milestones for completion.
Guidelines for Writing Measurable Goals

Measurable Goals = Evidence of Forward Motion/Progress

- To **increase** something (funding, engagement, effectiveness)
- To **provide** something (research, service, analysis)
- To **improve** something (efficiency, transparency, communication, relationships)
- To **decrease** something (expenses, inefficiency, costs)
- To **save** something (time, resources, energy)

If a Goal Cannot Be Measured, then Describe Clearly What Successful Completion of the Goal Looks Like:

- What is the **current** state and what is the **desired** state?
- How will it be **evaluated**?
- What specific **results** and behaviors will indicate success?
- How do you intend to evaluate **performance** against this goal?
# Sample Job Performance Goals

## Individual Contributor – Finance

<table>
<thead>
<tr>
<th>Upcoming Year’s Job Performance Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Improve the monthly financial reports that are delivered to our stakeholders e.g., add comments to fields that make the data easier to understand – Ongoing</td>
</tr>
<tr>
<td>Create a tracking system that will identify deficits and discrepancies in our accounts – March</td>
</tr>
<tr>
<td>Generate financial reports and documents to support portfolio spending – Ongoing</td>
</tr>
<tr>
<td>Assist with grant proposals by collecting data, proofreading and delivering the proposal according to deadlines - Ongoing</td>
</tr>
<tr>
<td>Prepare payroll documentation for the department when necessary including new hires, additional payments, and personal data change forms - Ongoing</td>
</tr>
</tbody>
</table>
Development Goals

Key Questions

• What are the key skills and knowledge I need to develop to meet expectations in my current role? In my future role?

• What are the key skills and knowledge I need to develop to be even more effective in my current role? In my future role?

• What important skills and knowledge can I develop to help address future needs or challenges for our group?

• What important skills and knowledge can I develop to help me accomplish my career goals?

• What would make work even more satisfying for me?
# Development Goals

<table>
<thead>
<tr>
<th>“Learn by Doing”</th>
<th>“Learn by Training”</th>
<th>“Learn with Others”</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jobs, Projects, Assignments</td>
<td>Courses, Seminars, Distance Learning</td>
<td>Feedback, Mentors, Colleagues, Coaches</td>
</tr>
</tbody>
</table>

- Experienced-Based Learning
- Education-Based Learning
- Relationship-Based Learning
Sample Development Goals

### Development Goals and Action Plans

Discuss and identify a few specific development goals, and list activities that will foster learning. Consider different approaches to learning: on-the-job assignments, mentoring / peer coaching, and training or coursework.

<table>
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<tr>
<th>Goal</th>
<th>Activity</th>
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<tr>
<td>Increase editorial skills and knowledge of Harvard’s accounting systems.</td>
<td>Attend two CWD trainings: “Proofing and Editing” and “Chart of Accounts Training” – March</td>
</tr>
<tr>
<td>Explore interests in a future financial management role. Identify stretch tasks to expand skills and test abilities in a broader job role.</td>
<td>Work closely with the Associate Director of Finance to learn more about her role and determine what might come off her workload to serve as a development opportunity – Ongoing, with formal check-ins at calendar year-end and in April</td>
</tr>
<tr>
<td>Strengthen teamwork and collaboration skills.</td>
<td>Seek feedback from supervisor and fellow team members to design the new tracking system - October</td>
</tr>
</tbody>
</table>
Ratings

5 – Leading Performance
4 – Strong Performance
3 – Solid Performance
2 – Building Performance
1 – Not Meeting Expectations
Planning Phase Process

By September 30th – SPH and HMS
By October 31st – HSDM

1. Identify 2-5 Performance Goals
2. Identify 1 or 2 Professional Development Goals
3. Identify Relevant Competencies to Demonstrate and/or Develop
4. Finalize by:
   • Marking the document *Complete in ePerformance* (PeopleSoft)
   • OR,
   • Completing and saving the electronic version (available using the link below)

***Note: Performance Management resources, tools, and information can be accessed anytime at [http://hlc.harvard.edu/home/performance-management/](http://hlc.harvard.edu/home/performance-management/).***
ePerformance Tools

http://hlc.harvard.edu/home/performance-management/
## Resources

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### ePerformance

<table>
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<td>Linda Miklas 2-7674</td>
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Manager as Coach

Clarity:
- Set high standards
- Hold people accountable
- Stretch people; push comfort zones
- Be honest and direct
- Address performance issues when they occur

Collective Effort:
- Reward and recognize good work/progress
- Help others learn and grow
- Be encouraging, empathetic, supportive, patient
- Treat mistakes / setbacks as learning opportunities
- Look for potential; foster healthy attitudes
Practical Feedback

For Each Goal:

What did I do/observe?

How did it go?

What did I learn?/What will you do the same or differently next time?

How did the results of this goal impact the team, department, organization?
Assessing Phase

- Assessing
- Planning
- Coaching
Performance Discussion Tips

• Treat the Discussion with the Importance It Deserves
  • Schedule in advance
  • Reserve adequate time
  • Prepare for the meeting
  • No interruptions

• Create An Open, Comfortable Environment
  • Your aim is a two-way discussion
  • Ask questions and listen
  • Remember to balance challenge with support – courage with compassion

• Be Specific and Focus on Behavior, Not Personality
  • Identify specific behaviors to do: more / less / differently
  • Refer only to observable facts, actual examples
  • Describe the impact of the behavior on you, on others, on the department

• Keep Confidentiality When Gathering and Communicating Feedback

• Be Curious, Ask Questions, and Listen to Understand
Seeking Feedback from Others

- Relationships (Quality of Interactions)
- Process (How to get the work done)
- Results (Measurable Achievements)
**Assessment Tendencies**

<table>
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<th>Tendency</th>
<th>Description</th>
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<td>Positive Tendency</td>
<td>Tendency to give all staff positive assessments overall and rate all employees toward the upper end of the scale or higher than deserved</td>
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<tr>
<td>Strictness Tendency</td>
<td>Tendency to be overly demanding and critical and rating lower than is deserved</td>
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<tr>
<td>Central Tendency</td>
<td>Playing it safe by giving employees the same type and content of assessment, and by rating in the middle of the scale</td>
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<td>Halo Effect</td>
<td>A general impression of overall performance not specific, individual performance, and assigning the same rating to each skill/competency</td>
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<td>Similar to Me</td>
<td>Giving higher ratings to employees with certain attributes similar to yours (e.g., values, habits, etc.)</td>
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<tr>
<td>Recency Effect</td>
<td>Taking a snap shot instead of the long view over the entire assessment period and rating only on recent events</td>
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<tr>
<td>Past Performance Effect</td>
<td>Being influenced by past performance rather than performance within the current cycle</td>
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<tr>
<td>Contrast Effect</td>
<td>Direct comparison and rating of staff member to others at same or higher levels, rather than performance on goals</td>
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Year-End Process

1. Complete Self-Evaluation *(April 5th to Mid-May)*
2. Provide completed Self-Evaluation to manager *(April 5th to Mid-May)*
3. Manager completes Overall Rating and Assessment, incorporating Self-Evaluation information, as well as any feedback gathered *(Early to Mid-May/June)*
4. Manager and Direct Report meet to discuss Assessment, Rating, and Pay *(by End of May/June)*
5. Form is marked **Complete** in ePerformance
   - By May 31st for SPH and HMS
   - By June 30th for HSDM

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Readings

Books


Article