



## Performance Management Toolkit for Leadership

### Goal Setting – The SMART Model

Goals should be designed to clearly communicate employee performance results for the year. Each individual goal should include criteria to determine if the accomplishment was achieved.

Good goals typically:

- Focus on specific outcomes and accomplishments that reflect the priorities of the role
- Align with the university's and department's goals to add value
- Include specific measures such as expected quality level, timelines in completion, or other specific performance results that are used to assess your performance objectively through the evaluation period
- A range of performance levels and what measures apply to each level
- The set of goals created focuses on the highest, most important aspects of a position
- Within the set of goals, one focuses on team work and collaboration

**Leadership Tip:** Within your set of goals, create one that focuses on performance development for your team

Poorly written goals lead to:

- Undefined individual performance expectations
- Poor indication of individual performance
- Difficult performance management discussions

Well written goals have three components:

- Deliverable: What needs to be done or accomplished?
- Timeframe: When does it need to be done?
- Measure: How will it be evaluated? What does success look like to the business and you as the leader?

SMART Goals	
<b>Specific</b>	The goal should clearly state what is to be accomplished. Use specific action verbs in the goal, clarify (if needed) the end result, and indicate how it will be achieved or observed.
<b>Measurable</b>	The goal should be measurable in some way to describe the desired results. How will you know when the goal is achieved or not? Time measure? Quality measure? Budget measure?
<b>Achievable</b>	The goals should be challenging, yet within the employee's area of control and responsibility.
<b>Relevant</b>	The goal should be relevant to the needs of the university and the department. It should be relevant to the employee's experience, skills, and abilities.
<b>Time Based</b>	The goal should be accomplished within a defined time period. Deadlines and milestones are important and should be driven by the position's needs.



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Helpful questions to determine goals:

- What is the overall purpose of this position?
- What are the major areas of responsibility?
- Which are the most important? Why?
- How will performance be documented (employee, leadership, someone else, multiple people)?
- Can we realistically obtain feedback from customers regarding certain performance measures?

Goal examples:

Create training and development programs to meet the needs of university staff and leadership. This goal aligns with the university's mission of developing human resources. This goal will be measured by the number of trainings created and delivered.

Not Met: 0 - 1 training program developed and delivered

Met: 3 - 5 training programs developed and delivered

Exceeded: 6+ training programs developed and delivered

Reconcile budget and expense statements in a timely and accurate manner of receipt from X office. This goal is aligned with the university's fiduciary responsibilities. This goal will be measured by when the task is completed and the number of errors that occur. Both measurements need to be met or exceeded for this goal to be met; the lowest measurement will determine final performance.

Not met: Completed task 6 or more business days from receipt.

Met: Completed task within business 3-5 days from receipt.

Exceeded: Completed task within 1-2 business days from receipt.

Not met: 2 - 4 errors per report

Met: 1 error per report

Exceeded: 0 errors per report

Contribute to the university's mission of inclusiveness by collaborating with your team. This goal will be measured by successful team projects or tasks completed (refer to team or project goals for details).

**\* These goals are for example only; measurement levels may not be realistic.**



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### Your Role

Performance management is an ongoing interactive process between an employee and supervisor. Performance conversations should take place throughout the year through timely and respectful feedback that focuses on the expected behaviors, extra accomplishments, and the behaviors that need improvement. A formal performance review discussion should not provide new feedback that the employee was unaware of.

Provide ongoing expectations and feedback:

Informal, continuous feedback is the most valuable type of feedback. When feedback is provided immediately following poor performance, it helps employees make real-time alterations in their behavior and enables them to perform their work more efficiently and effectively. When feedback is provided immediately following good performance, it reinforces to the employee that the behavior is appreciated/valued.

Remember to:

- Focus on specific outcomes or behaviors: Be specific about the behavior or outcome, what went right or wrong, and specifically what to do differently in the future
- Give both positive recognition and constructive feedback
- Discuss feedback, expectations, and goals regularly (more often than just at formal performance review time)
- Provide as soon as possible based on the situation (do research if needed)
- Adapt: Be flexible with expectations and listen to concerns or feedback on barriers to performance

Performance management discussion:

Your preparation is critical to the performance review discussion to ensure that it is productive. It is important to give thought to the process and look at it as a way to learn from the past, plan for the future, increase work effectiveness, and boost your satisfaction.

Prepare for the discussion:

- Track (throughout the performance period) and gather performance results (your own, employee's, and others' measures)
- Review the employee's position description
  - Create suggestions for changes if it no longer matches the actual duties being performed
- Review the employee's performance objectives and goals
  - Are the performance objectives realistic and still attainable?
  - Was a duty/task changed/replaced that now influences a goal going forward?
- Review the employee's performance in regards to interpersonal relationship behaviors and other pertinent results that are applicable to the position
  - Remember to focus on feedback that the employee is already aware of
    - If there is a behavior that needs improvement and you have not spoken about it yet, it should not be part of the formal performance review

Helpful questions when preparing your leadership assessment:



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- What areas of the job were done especially well? Why?
- What areas need improvement? Why? What can I do to help the employee (training, resources, decrease other barriers)?
- What changes in the job, procedures, or interpersonal communications can be suggested?
- What can I do to help improve the employee's job satisfaction (get to know them better/quality time, more timely feedback, more recognition, etc.)?
- What can the employee do to better help the department or team realize their goals?
- What are some career or development goals that I would like to talk with the employee about?
  - Development goals should not be counted as part of the performance expectations unless they are being driven due to performance issues
- Are there job expectations that should have goals created for going forward?

Tips to creating your leadership assessment:

1. Put personal biases aside. Avoid letting personal feelings, recent behaviors, or the halo/horn effect control the performance review. Personality, beliefs, or spare time activities usually do not affect job performance. Keep records of an employee's performance so that you can recall and evaluate the employee's performance over the period, and not just the recent performance. Avoid allowing one outstanding (halo) or negative (horn) employee trait overshadow the other activities in the review.
2. Keep it focused on the individual being evaluated. A performance review is personal between you and each employee. The employee is concerned about their performance and wants to know that the discussion is confidential. Comparison between employees destroys confidentiality and implies favoritism.
3. Use compliments wisely. A performance review is about growth. There is always room for improvement in some way – no one is perfect. Although it may be easier for you to say nice things, it doesn't help your employee grow nor does it help you improve department performance.
4. Cut the criticism. While every employee has room to improve, the performance review should not stress improvement to the point that the employee feels they haven't done anything well enough.
5. Be flexible. Each person has an individual style and there is no "one best way" for doing most things. Generally an employee will be happier and more productive if given some discretion in their work. Unless it is absolutely necessary, avoid dictating to an employee how work needs to be done, especially when a satisfactory means of achieving an objective has already been worked out.



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During the discussion:

- Ask the employee to share their results
- Share performance results that you gathered
  - Be specific and give examples that show outcomes and results for each goal or performance metric
- Ask for, discuss, and convey accomplishments and developmental goals achieved
- Ask for, discuss, and convey the employee's significant work that was performed outside of their goals and expectations, the results, and the value to the university
- Discuss awards, promotion, praises, or other positive feedback received during the performance period
- Solicit and share areas of improvements recognized
  - Discuss training needs, requirements, or desires to improve performance
- Identify changes you would like to include for next year's performance review
- Solicit and share development desires and career goals for the employee

General tips:

Giving feedback can be difficult; remember to be compassionate and focus on the employee's behaviors.

- Performance management is about two-way communication, not a piece of paper
- Allow the employee to share their self-assessment first
- Allow for silence and time to process/reflect
- Ask the employee to share their self-improvement ideas before offering suggestions
- Seek feedback on your performance from the employee
- Ask the employee what you can do to support them to be successful