



01

PERFORMANCE COMMUNICATION

Results-based performance management: appraisal and development.

A human-centered leadership approach to setting goals, giving feedback and growing people. Michael Lane Morris, PhD

Photo by @substack on Unsplash

Notes

02

TODAY

My role and your role.

My role

- Give an overview of effective performance management
- Identify best practices
- Facilitate our conversation on the topic

Your role

- Put the content in your own context
- Transfer it to your team
- Apply it in your next performance conversation

Notes



03

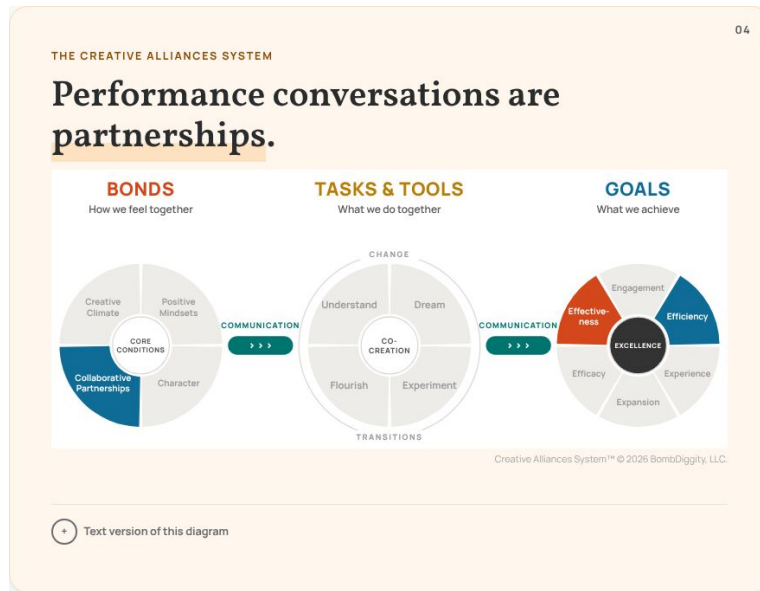
DEFINING HUMAN-CENTERED LEADERSHIP

The process of inspiring and mobilizing people to co-creatively tackle tough challenges and do things that matter.

Michael Lane Morris and Jules Morris

Photo by @going_better on Unsplash

Notes



Notes

PERFORMANCE MANAGEMENT AND APPRAISAL

“You cannot mandate productivity; you must provide the tools to let people become their **best**.”

Steve Jobs (attributed)

Photo by Matthew Yohe, CC BY-SA 3.0 via Wikimedia Commons

Notes

PERFORMANCE MANAGEMENT TODAY

Why it is the **Achilles heel** of management.

- Highly personal**
Reviews touch identity, pay and pride all at once.
- Threatening**
Both people often walk in braced for conflict.
- Candor is rare**
Managers hold back the honest feedback people need to improve.
- Skills are thin**
Many managers were never taught how to discuss performance or coach.

06

Notes

07

WHAT EMPLOYEES TELL US

Most reviews do not inspire anyone.

Reviews inspire them to improve

14%

Performance is managed in a way that motivates them

20%

Reviews are accurate

26%

Reviews are fair

29%

Manager involves them in setting goals

30%

Percent of employees who strongly agree (bars scaled to 50%)

Employees involved in setting their goals are 4x more likely to be engaged.

Source: Gallup: [More Harm Than Good: The Truth About Performance Reviews](#) (2017).

Text version of this diagram

Notes

08

WATCH

The annual review, as seen on The Office.

A short clip to open the conversation. What goes wrong when a review is all ritual and no relationship?

Watch the clip on YouTube

Notes

09

HOW PERFORMANCE MANAGEMENT SYSTEMS ADD VALUE

Two ways: better decisions and better people.

Key decision-making and employee development. Every system has to serve both.

Photo by @aging_better on Unsplash

Notes

TWO PURPOSES OF PERFORMANCE MANAGEMENT

10

Every system serves two purposes.

Key decision-making

- Supports retention and promotion
- Goals established and measured
- Fairly distributes merit and compensation
- Succession planning
- Confirms selection decisions
- Legal defense for decisions
- Revenue, productivity and cost containment
- Clarifies job responsibilities and expectations

VS

Employee development

- Positive, growth-oriented feedback
- Motivates superior performance
- Counsels and corrects poor performance
- Encourages mentoring and coaching
- Identifies training and development needs
- Improves communication
- Maximizes and realizes employee potential
- Succession planning

Notes

THE BIG CHALLENGE

11

Blending the two is hard.

"It is hard to blend healthy conversations around wants and needs."

A decision-making approach

- Too lenient: ratings get inflated
- Too focused on rewards and recognition

VS

A development approach

- Too variable: strengths and potential differ person to person
- Too need-based, and not focused on performance

Notes

WHAT IS A RESULTS-BASED PERFORMANCE MANAGEMENT SYSTEM?

12

It measures and grows three things.

01 Results

Performance-oriented achievement: actual job outputs, countable results, measurable outcomes, and objectives, targets or goals achieved.

02 Behaviors

How the person performed: traits and proficiencies, personal style and approach, and KASH: knowledge, attitudes, skills and habits.

03 Development

The maturation of talent: maximizing ability and unleashing human expertise.

Notes

13

IMPLEMENTING A RESULTS-BASED SYSTEM

A five-phase cycle.



+ Text version of this diagram

Notes

14

KEEP IT SIMPLE

Five stages are better than seven.

Every extra step is another place for the process to stall. A simple cycle people use beats a perfect one they skip.

Photo by @cattig on Unsplash

Notes

15

MEANWHILE, IN THE OFFICE

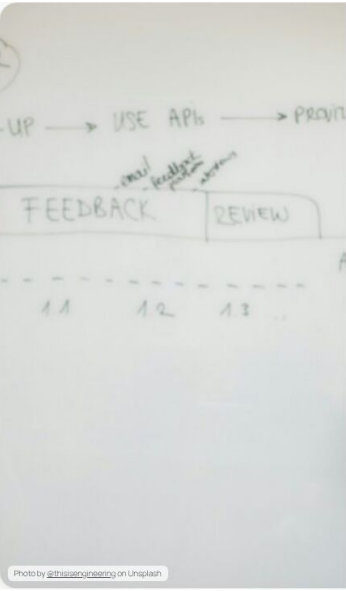
Keep it simple.



Five stages are better than seven. Or fifteen.

+ Text version of this diagram

Notes



PHASE 1: PERFORMANCE PLANNING

Plan it together.

"The dance": managers and employees are involved in every phase of the process.

Key criteria
What performance matters most?

Comprehensive and fair
Does it cover the whole job, fairly?

Goals and strengths
Build on what people do best.

Every level
Individual, team, department and organization.

Photo by @thisistheinternet on Unsplash

Notes

MEANWHILE, IN THE OFFICE

Vague goals, vague results.



Nobody can hit a target they can't see.

+ Text version of this diagram

Notes

THE IMPORTANCE OF SETTING PERFORMANCE OBJECTIVES

A clear target changes everything.

Direction
A clear target to aim for.

Contribution
A sense that my work makes a difference.

Conversation
Ongoing communication between supervisor and team member.

Clarity
A chance to clarify expectations.

Pride
Achievement that builds pride and self-esteem.



Photo by @suzuki on Unsplash

Notes

METRICS FOR PERFORMANCE OBJECTIVES

19

Seven ways to measure the work.

**Impact**
What difference did the work make?

**Quality**
How good was it?

**Quantity**
How much got done?

**Timeliness**
Was it on time?

**Cost effectiveness**
Was it worth what it cost?

**Manner of performance**
How was it done, and how did it treat people?

**Adherence to procedures**
Did it follow the agreed process?

Notes

GETTING SMART WITH GOALS

20

Good performance objectives are SMART.

S
Specific
Adequate detail.

M
Measurable
Clear criteria for measurement.

A
Achievable
Not too easy, not too hard.

R
Relevant and realistic
Sensible and practical.

T
Time-bound
A specific deadline.

Notes



21

SMART GOALS ARE GOOD, BUT NOT BEST

Only 14% say their goals will help them achieve great things.

Goals that are merely achievable rarely stretch anyone. People who set difficult goals were 34% more likely to love their jobs.

Leadership IQ survey of 3,995 employees, 2020. [Are SMART goals dumb?](#)

Notes

Notes

Notes

Notes

PERFORMANCE IMPROVEMENT

25

Find the root cause first.

Determine the root cause: is it a problem with...

Ability?	Can they do it?	yes	Train and educate
Environment?	Does the setting allow it?	yes	Remove obstacles
Motivation?	Do they want to do it?	yes	Align feedback
Fit?	Is this the right role?	yes	Transition

+

Text version of this diagram

Notes

16 REASONS EMPLOYEES FAIL TO EXECUTE

26

Most performance problems are not about effort.

They don't know, or don't agree

- Don't know why they should do it
- Don't know how
- Don't know they are supposed to
- Think your way will not work
- Think their way is better
- Think something else is more important
- No positive consequence for doing it
- Actually think they are doing it

VS

Consequences and limits get in the way

- Rewarded for not doing it
- Punished for doing it
- Anticipate negative consequences
- No negative consequence for poor performance
- Beyond their control
- Personal limitations prevent them
- Personal, private problems
- Nobody could do it

Based on Ferdinand F. Fournier, Why Employees Don't Do What They're Supposed to Do and What to Do About It.

Notes

EXAMPLE: PERFORMANCE COMPETENCIES, BEHAVIORS AND WEIGHTS

27

Weight what matters most.

Technical skills 50% of the score	25% Product knowledge	25% Customer evaluations
Human relations 25% of the score	20% Coaching	5% Delegation
Conceptual skills 20% of the score	10% Decision making	10% Strategic planning
Professionalism 5% of the score	5% Collegiality	

+

Text version of this diagram

Notes

COLLABORATION ASSESSMENT MATRIX

What collegiality looks like.

Adapted from Cipriano and Buller's collegiality assessment matrix.



Collaborating
Collaborating with others. Stepping up when needed. Performing tasks for the good of the group.



Following through
Following through on professional tasks. Meeting deadlines. Carrying out all relevant responsibilities.



Respecting
Respecting the unit's decision-making processes. Communicating respectfully. Relating to others in ways that are constructive, supportive and professional.

Notes

PERFORMANCE RATINGS AND CLEAR DEFINITIONS

Define every level before you rate.

	Outstanding (excellent)	More than expected (very good)	Expected (good)	Less than expected (fair)	Unsatisfactory (poor)
Behavior	Far exceeds expectations	Exceeds expectations	Meets expectations	Falls short of expectations	Falls far short of expectations
Results	Highest impact	High impact	Moderate impact	Low impact	No or negative impact

Write out what level 5, 4, 3, 2 and 1 behaviors look like for each competency.

29

Notes

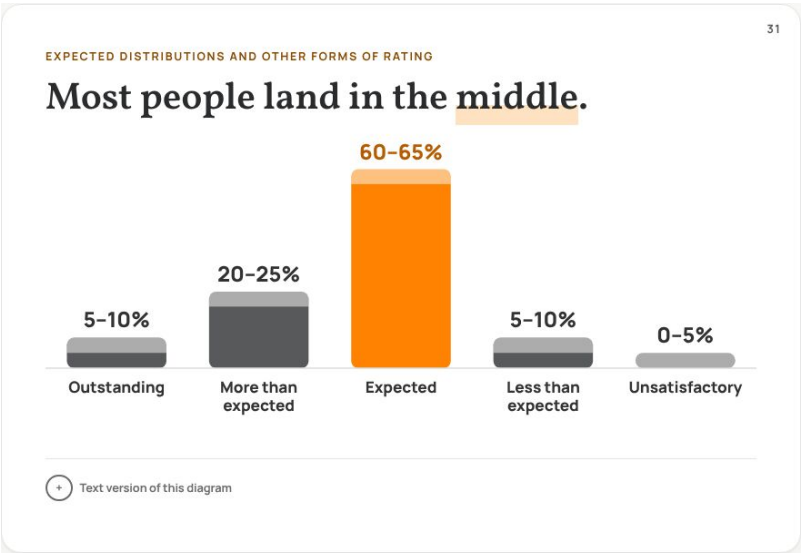
MERIT AND PERFORMANCE-BASED SALARY ADJUSTMENTS

Tie pay to the rating, clearly.

Rating	Merit or performance pay
Exceeds expectations	Eligible for significant adjustments
Meets expectations	Eligible for minimum adjustments
Needs improvement	Not eligible (improvement plan)
Unsatisfactory	Not eligible (improvement plan)

30

Notes



Notes

32

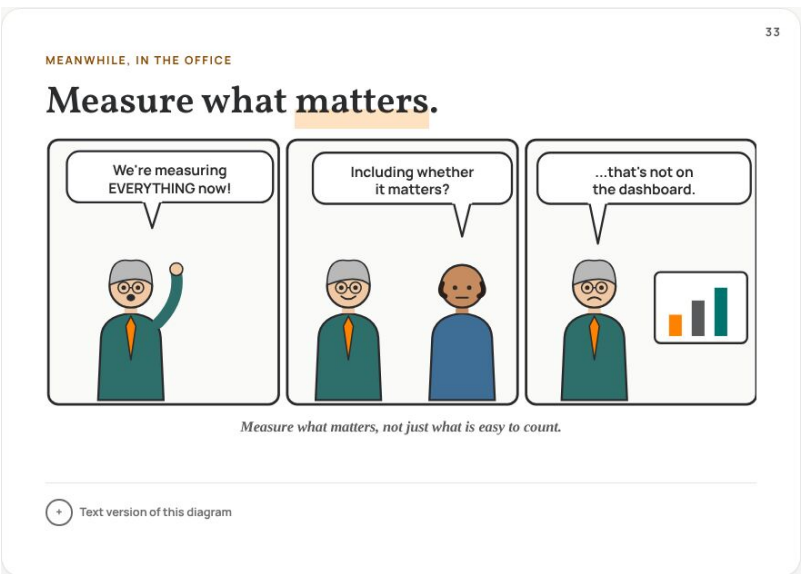
COMPETENCIES AND WEIGHTED PERFORMANCE BEHAVIORS

A simple scoring form.

	Outstanding (5)	More than expected (4)	Expected (3)	Less than expected (2)	Unsatisfactory (1)
Human relations quality					
Facilitates employee learning (60%)					
Negotiation skills (20%)					
Exhibits interpersonal skills (20%)					
Total score					

Multiply each rating by its weight and add them up for the competency score.

Notes



Notes



Photo by @calmcalm_creators on Unsplash

34

PHASE 2: PERFORMANCE EXECUTION

“Git-R-Done.”

The employee
Follows the game plan and achieves measurable results.

The supervisor
Builds an enriched culture that motivates and enhances success.

Clear the path
Confront and remove obstacles.

Feed it forward
Supportive feedback. Motivate, motivate, motivate.

Notes

35

DEMOTIVATION

People rarely quit all at once.

They pull back a little at a time: when goals feel pointless, feedback never comes, and good work goes unnoticed.

Photo by @bradymore on Unsplash

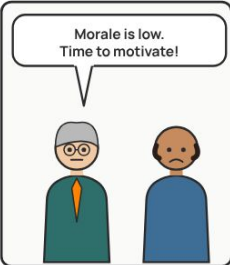
Notes

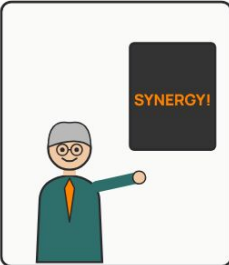
36

MEANWHILE, IN THE OFFICE

Posters don't motivate people.

Morale is low. Time to motivate!





I'd settle for knowing my work matters.



Posters don't motivate people. Meaning does.

+ Text version of this diagram

Notes



PHASE 3: MONITOR AND DEVELOP

Coach all year, not once a year.

Measure
Regularly measure performance.

Feedback
Timely feedback, positive and negative.

Coach
Coach and mentor.

Grow
Turn the development plan into opportunities.

+ A note on timing

Photo by garethandrydowd on Unsplash

Notes

MONITORING PERFORMANCE

Watch the work as it happens.



Daily
Measure performance continually. Many methods and systems can help.



Critical incidents
Document them when they happen, good and bad.



Timely feedback
Positive and negative, close to the moment.

Notes

MONITORING PERFORMANCE GOALS

Track each competency's goals.

Competency	Goals	Performance results
Technical skills	Goal 1, Goal 2	
Human relations skills	Goal 1, Goal 2	
Conceptual skills	Goal 1, Goal 2	
Collegiality and professionalism	Goal 1, Goal 2	

Notes

PHASE 4: PERFORMANCE APPRAISAL

Appraisal: an effort to determine worth.

Done well, it tells people what their contribution is worth to the team, and where they can grow next.



Photo by gaudy on Unsplash

Notes

THE 9-BOX GRID

41

Performance today, potential tomorrow.



Labels vary by organization. Use it for development conversations, not as a label on a person.

⊕ Text version of this diagram

Notes

PHASE 4: PERFORMANCE APPRAISAL

42

Four factors to be aware of.

Evaluating how well the job has been done. Criteria used: calibrate, calibrate, calibrate!

01 Job analysis

Job analysis, description and assignment.

02 Job context

The conditions the work happens in.

03 Expectations

Job expectations and performance criteria.

04 The job holder

Issues the person brings to the role.

Notes

43

COMMON APPRAISAL ERRORS (1)

Bias hides in first impressions.**Attractiveness effect**

Assuming attractive people are great performers.

**Attribution bias**

Blaming failures under the person's control on outside causes.

**Central tendency**

Rating everyone in the middle of the scale.

**Initial impression error**

A first impression, good or bad, that colors everything after it.

Notes

COMMON APPRAISAL ERRORS (2)

Bias hides in shortcuts.**Halo or horns effect**

Rating someone the same on every trait.

**High-potential error**

Confusing future performance with current performance.

**Negative or positive skew**

Leniency: rating high to avoid conflict. Severity: rating low to punish, coerce or threaten.

**Past performance error**

Letting the past decide the present.

Photo by @silverblack on Unsplash

Notes

45

COMMON APPRAISAL ERRORS (3)

Bias hides in comparisons.**01 Recency effect**

"What have you done for me lately?"

02 Similar-to-me effect

Rating someone favorably because they resemble you.

03 Contrast effect

Rating people against each other, not the standard.

04 Stereotyping

Generalizing across groups and ignoring differences.

Notes



PHASE 5: PERFORMANCE REVIEW AND FEEDBACK 46

A no-surprises conversation.

- Measure contributions**
What did this person add this year?
- Open dialogue**
Communication goes both ways.
- No surprises**
Nothing new should come up for the first time here.
- Plan growth**
Plan for growth and development.
- Build commitment**
Leave more committed than you came in.

Photo by @gabriel_botter on unsplash

Notes

47

EVALUATING PERFORMANCE: THE PERFORMANCE APPRAISAL

What appraisals are for.

Communication **Rewards** *Careers* **Goals**
Decisions

Notes

48

PHASE 5: PERFORMANCE REVIEW AND FEEDBACK

Discussion and feedback in two steps.

- 1**
Look back
Review the year's performance compared to the development plan. Identify successes and unrealized goals.
- 2**
Look ahead
Set a date to create the plan for next year's goals, objectives and development.

Notes

49

THE EMPLOYEE'S ROLE AND THE SUPERVISOR'S ROLE

Both people prepare.

The employee

- Reports personal accomplishments
- Compares them with the original goals
- Identifies obstacles and solutions
- Completes a self-assessment
- Identifies next cycle's goals

The supervisor

- Reviews the original goals
- Makes a preliminary assessment
- Discusses accomplishments (two or three core messages)
- Prepares the final assessment
- Consults administration
- Plans next cycle's goals

Notes

50

MEANWHILE, IN THE OFFICE

The self-appraisal problem.

Time for your self-appraisal.



Strengths: everything. Weakness: too humble.



Let's look at the evidence together.



Self-appraisal works best with evidence on the table.

+

Text version of this diagram

Notes

51

PHASE 5: THE MEETING

"Teeing it up."

1

Welcome

Put the employee at ease.

2

Importance

Say why this meeting matters.

3

Time frame

Agree how long you have.

4

Starting place

Tell them where you are beginning.

5

Kick-off statement

Open with one clear sentence.

6

Invite them in

Ask the employee to share their perceptions.

7

Next meeting

Plan the next planning meeting.

Notes

52

PROVIDING EFFECTIVE FEEDBACK

Six moves for feedback that lands.

1

Summarize

Briefly summarize the conversation's direction.

>

2

Start positive

Provide immediate positive feedback.

>

3

Strengths

Discuss two or three strengths to continue or enhance.

>

4

Improvement

Areas for improvement. Ask: what could be done differently?

>

5

Development

Explore development needs. Ask: what resources do you need?

>

6

Hope

Congratulate, with an authentic statement of hope.

Notes

53

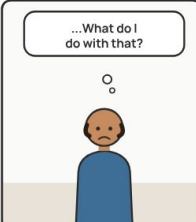
MEANWHILE, AT THE TALENT SHOW

Feedback that stings vs. feedback that lands.

That was dreadful. Next!



...What do I do with that?



Strong voice. Breathe on the high notes. Try it again.



Feedback that stings vs. feedback that lands.

Text version of this diagram

Watch clip 1

Watch clip 2

Notes

54

POOR AND INFREQUENT FEEDBACK MAY LEAD TO...

Silence has a cost.

Lost focus

Less focus on performance goals and expectations.

Lower morale

Decreased motivation and lower morale.

Disengagement

Discontent and disengagement.

Turnover

Unexpected turnover.

Notes

DELIVERING TOUGH MESSAGES

Say the hard thing, well.

Don't wait
The longer it waits, the harder it gets.

Define your view
Name the problem as you see it.

Evidence, not person
Focus on the problem and the evidence, not the person.

Work together
Move toward a solution together.



Photo by @pocousg on Unsplash

Notes



Photo by @silverblack on Unsplash

EFFECTIVE DEVELOPMENT DISCUSSIONS

Build a vision together.

Tailor it
Tailor actions to the employee.

Create a vision
Picture where they could go.

Plan and seize
Blend planning and opportunism.

Make learning the norm
Support a learning- and development-oriented ethic in all action planning.

Notes

USING DEVELOPMENT TO IMPROVE PERFORMANCE

Development is a performance tool.

57

 **Coach and mentor**
On improving performance and working more effectively, across the team and up and down.

 **An individual plan**
Work with each person to create an individualized development plan.

 **Training**
Provide opportunities for training as needed.

Notes

58

WRITING EMPLOYEE ACCOMPLISHMENTS

Write accomplishments that show impact.

01 The objective

Describe key performance objectives and expected results.

02 The context

Include the context.

03 The moments

Describe critical incidents the employee handled.

04 The impact

Describe the impact of the accomplishment, for the individual and the department.

Notes

59

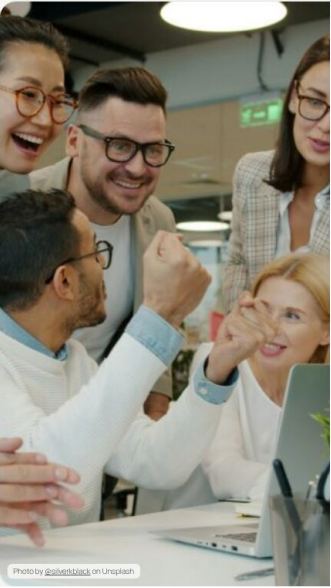
CREATING A DEVELOPMENTAL ACTION PLAN

Make development specific.

Development area	Specific actions	Completion date
Improve the feedback timeline	Return written assignments within two weeks. Consult a mentor for accountability. Write due dates on the calendar.	Next review cycle

One row per development area. Specific actions, a real date, and someone to keep you honest.

Notes



60

RECOGNIZE AND REWARD

Notice good work out loud.

Every day

A pat on the back, thank-you notes, recognition at meetings, a name in the monthly report.

Formal

Service awards, employee of the month, team nominations, a letter from a senior leader.

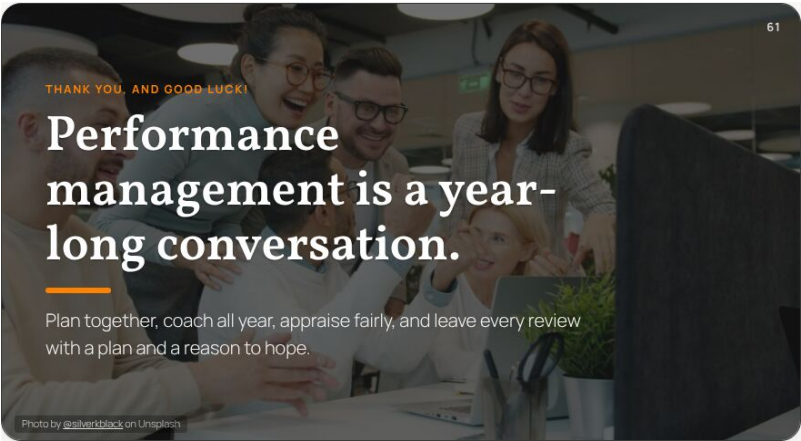
Tangible

Gift cards, a parking space, a "life saver" award.

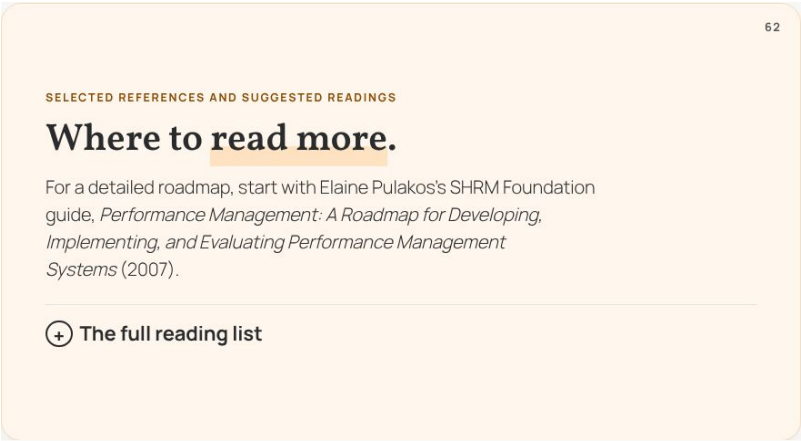
Days that matter

Administrator's Day and Boss's Day.

Notes



Notes



Notes
