

# Performance Evaluations: Preparation, Delivery, Results

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# Desired Outcomes

- 1) Understand purpose and benefits of evaluations
- 2) Understand your role
- 3) Write and deliver honest evaluations

# Agenda

- Annual Performance Discussion
  - Purpose of Evaluations: Employees, You, Lab
  - Normalization: The Process and Your Role
  - Preparation: Schedule, Inputs, Writing, Scoring
  - Delivery
- Future Performance
  - Goal Setting
  - Development Plan

# Building a Performance Culture

- Commit to Excellence
- Measure what's important
- Build individual accountability
- Communicate timely & repetitively
- Reward success and confront failure

# Introductions

- Name / directorate or department
- Number of employees
- Will you provide input for others (e.g., are you a matrixed manager)
- Name an opportunity or challenge preparing or delivering evaluation

# Cost of Not Writing and Delivering an Honest Review

Is your Written and Verbal Message Accurate?

What is the cost of telling employee who is fails to deliver results “*meets most expectations*”?

What is the impact of telling an employee who is abrasive “*meets most expectations*”?

Is it more accurate to tell employee “*needs improvement*”?

***Cost to employee?***

***Cost to you?***

***Cost to the team?***

***Cost to SLAC?***

# Purposes and Benefits of Evaluations

## Employee Perspective

- Chance to ask questions and share accomplishments
- Learn strengths, areas for improvement
- Better understand:
  - your expectations
  - their contribution to lab agenda/mission
  - their current job duties
  - their level of performance
  - development pathways

*Feel and be aligned to lab  
mission and needs*

# Purposes and Benefits of Evaluation

## Manager and Lab Perspective:

- Drives results and productivity – keeps employees focused on lab/dept. goals
- Considers job and career development needs/opportunities
- Gives underperforming employees guidance that can lead to improved performance
- Develops candor in relationships and ability to deliver any crucial conversation with constructive dialogue
- Provides an objective - and legally defensible - basis for key human resources decisions

*Helps managers and the lab achieve their goals*

# Key Milestone – FY13

- 1. August 16th** – Goal Setting Tool closes.
- 2. August 19th:** Performance Evaluation Tool opens. Access given to supervisors to begin writing evaluations and seek employee and contributor (matrixed supervisor / functional lead/other) input; Employees invited to provide input.
- 3. August - October:** Voluntary performance evaluation training session for supervisors – classroom and Directorate leadership meetings.
- 4. September 20th:** Employee/contributors complete input into evaluations tool.
- 5. September 20th:** Supervisors provide input on their work group/team's performance to Dept./Div. Head
- 6. September 27th:** Dept./Div. Heads provide input to ALD
- 7. October 11<sup>th</sup>:** Directorates complete their normalization process and communicate guidance to supervisors

## Key Milestone – FY13

- 8. October 28<sup>th</sup>:** Supervisors complete performance evaluations.
- 9. November 1st - 8th:** Upper-level review complete - evaluations finalized.
- 10. November 11th:** Evaluations can be released to employees; supervisors begin meeting with employees.
- 11. November 29th:** Directorates finalize salary increase and bonus recommendations. Submit recommendations to Compensation.
- 12. December 11th:** Executive Council completes approval process for bonuses and salary increases.
- 13. December 20th:** FY bonuses paid out in paycheck.
- 14. January 21, 2014:** Supervisors complete meetings with employees.
- 15. January 22, 2014:** Salary increases in paycheck.
- 16. January 22, 2014:** Performance Evaluation Tool closes.

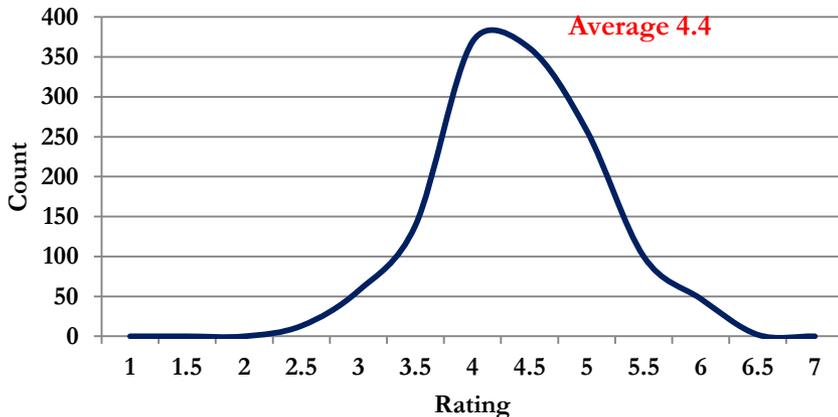
# Normalization

## Because We Aren't That Great at Writing Performance Evaluations

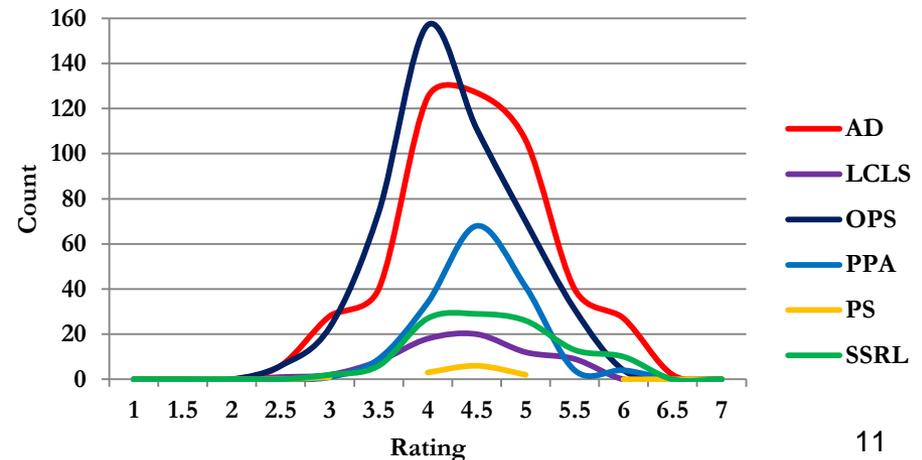
- Provides managers with realistic targets: if the division gives itself a “4,” then it can't rate everyone a 5 or 6; forces managers to differentiate
- Creates linkage between performance of individuals and directorate
- Drives honest performance evaluations
  - 5 years ago all but 3 employees exceeded expectations yet lab was getting Cs on our PEMP

### *Normalization Drives Differentiation*

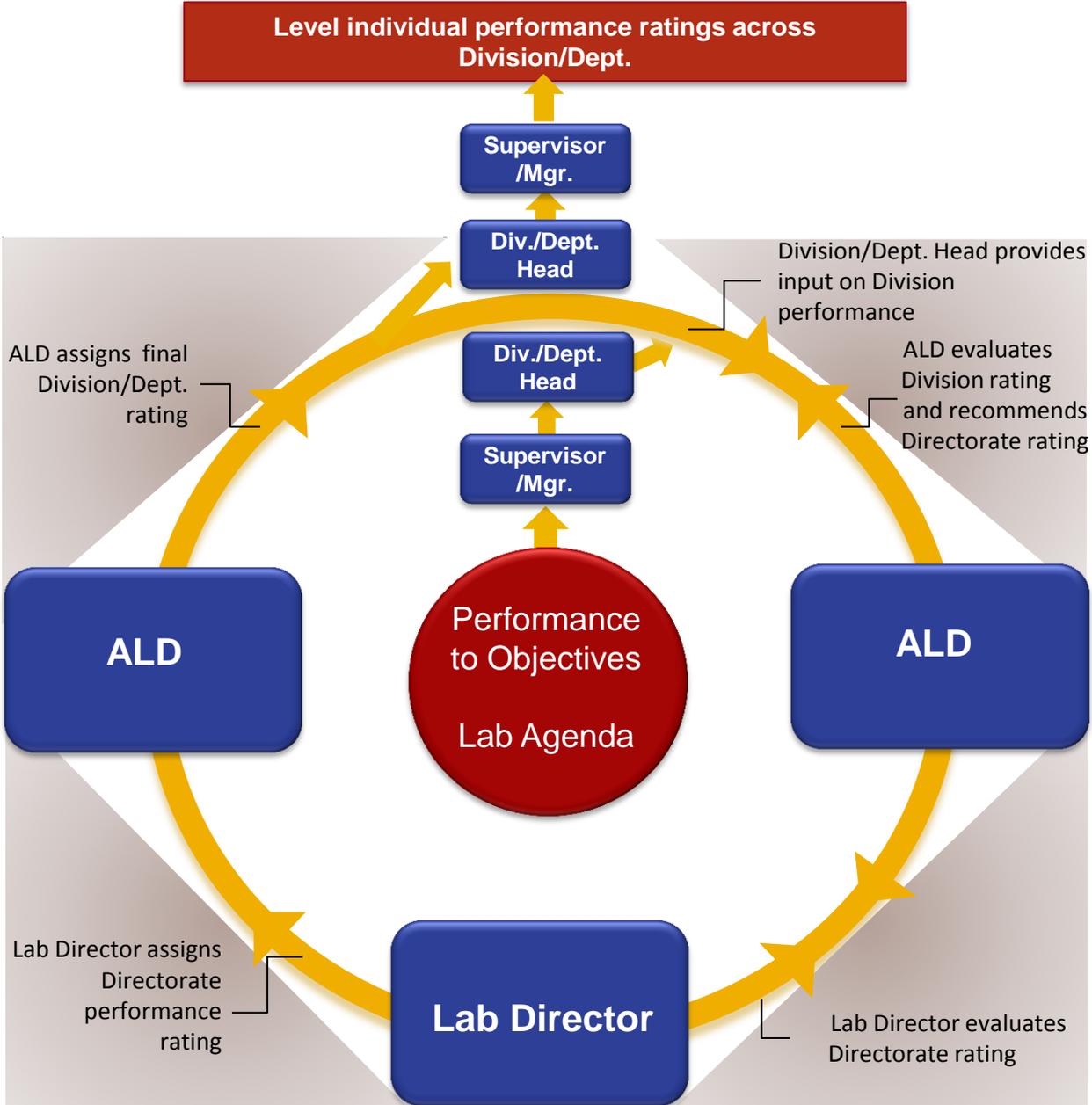
FY12 Performance Evaluation Ratings Distribution



FY12 Distribution by Directorate



# Normalization: The Lab Performance Differentiation Process



# Preparation

## Know Your Biases

Examine yourself: are you overly influenced by these or other biases -

- Recency: placing most weight on recent events
- Harshness: rating more severely than performance merits
- Leniency: rating more favorably than performance merits
- Avoidance: failing to address soft skills - poor interpersonal skills, lack of teamwork, difficult temperament, mediocre customer service, or “no one wants to work with you” syndrome
- Sameness: using prior years’ review comments

*How will you avoid them when you write and deliver your evaluations?*

# Gather Inputs

- Matrixed managers, functional leads, etc.: give enough time; encourage them; escalate if no response
- Employee: encourage/require them
  - Future goals: above and beyond daily job
  - Development ideas: education, experience, exposure
- Job descriptions / R2A2s: use them; get them right

- Using inputs
- Writing your perspective and examples
  - Comments should be included for any competency with a high ( $>5$ ) or low ( $<3$ ) rating
- Selecting the score

# Influencing Behavior

## Which Statement May Get Better Results

- A. You're always failing to communicate deadlines to the team.
- B. There were two times this past year when project changes came up and you didn't anticipate the impact on deadlines and notify the team quickly enough. Because they didn't know about the changes fast enough to adjust, we missed those deadlines. In the future, I'd like you to communicate any changes to the entire team as soon as you're aware of them.

# Influencing Behavior: Which Statement May Get Better Results

- A. You never seem to manage your time well.
  
- B. At times, you've focused on lower-priority responsibilities such as X and X, resulting in two missed deadlines on your highest priority project Y over the past year. During the coming year, you'll have increased responsibilities for project Y, so it's even more important that you prioritize effectively.

## Scoring: A Four is Good

7=Consistently Exceeds All Expectations

6=Frequently Exceeds Expectations

5=Sometimes Exceeds Expectations

4=Consistently Meets All Expectations

3=Meets Most Expectations

2=Needs Improvement

1=Does Not Meet Expectations

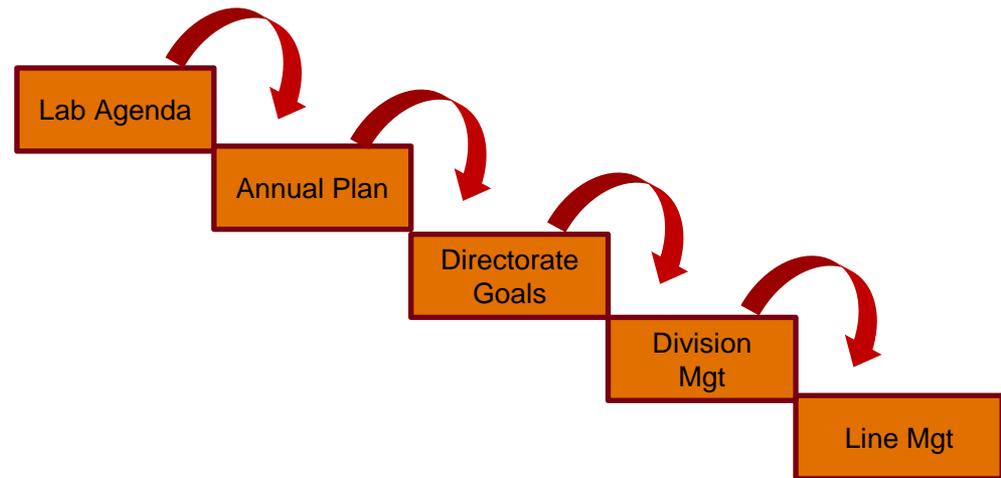
*A “4” is not like a “C”*

Do you know where your lab agenda is?

<http://www-group.slac.stanford.edu/do/>

## SMART Goals

- Specific
- Measurable
- Aggressive
- Realistic
- Time-bound



Performance Goals are above and beyond the daily job.

Performance Goals are not development plan/goals.

# Goals are Different than Competencies: Example

## Goal: Strengthen Internal Financial Controls

### Goal Measure:

**3:** Internal financial controls strengthened to satisfaction of CFO Sub-council by end of FY

**5:** Internal financial controls improved per Critical Goals in Ops Directorate Strategic Business Plan FY11 and validated by external review team of SMEs

**7:** Internal financial controls improved as validated by Internal Audit so greatest risks mitigated and plan exists to address significant remaining findings by end of FY11

# The Development Discussion: Online Info Aid

<https://www-internal.slac.stanford.edu/humanresources/training/career/career-development.aspx>

*Ensure your people have the skills  
you and the lab will need in the future.  
Bring your people along.*

# Delivering the Evaluation

## Prepare for Discussion

Take time to review the evaluation

- Does it include key messages you want to convey?
- Do you have examples to support your rating?
- Do you need notes to refer to?
- Have you set aside adequate time?
- Are you surprising them with a poor rating or commentary?

When review concludes, will your employee know....

- What should I continue doing (or do more of)?
- What should I stop doing (or do less of)?
- What should I start doing?

# Understanding Threat Triggers

## SCARF Model

- **Status** is about relative importance to others: *who's better than who*
- **Certainty** relates to being able to predict the future: *uncertain impact of review*
- **Autonomy** provides a sense of control over events: *they are the supervisor's words, not mine*
- **Relatedness** is a sense of safety with others: *may create separation*
- **Fairness** is a perception of fair exchanges between people: *am I being treated the same or better*

David Rock, 2008, <http://www.scarf360.com/about/>

*Be aware of triggers and normal reactions (flight, fight, freeze). Keep employee engaged*

## Watch This

Video <http://youtu.be/eZRDAwCxmW4>

- What did not go so well?
- What did the supervisor do?
- How did the employee react?
- What could the supervisor have done differently?

# Be Aware of Cues

If employee appears angry, confused, shutdown, off target...

## Don't

- Continue with review because they can't hear you
- Ignore feelings

## Do

- Acknowledge what you are seeing
- Refer to form and current competency or goal: “do you understand” vs. “do you agree”
- “You don't look comfortable. Is there something you need to say or that I need to know before we can continue?”

- Review with employee
- Get their perspective

<https://www-internal.slac.stanford.edu/humanresources/training/career/career-development.aspx>

*Ensure your people have skills  
you and the lab will need in the future.  
Bring your people along.*

## Walk Away With This In Mind

- 1) It is your evaluation of the employee. Listen, but no need to convince or debate. It's not the time for the coaching discussion
- 2) A "4" is good
- 3) The employee should not be surprised – open dialogue year-round
- 4) The employee should leave feeling that you care about his or her success and future – how well she or he did and where she or he can improve
- 5) If it gets too exciting consider breaking or rescheduling – respect is #1 for you and for the employee
- 6) HR can help you with discussion prep or follow-up

# Advice, Practice, Support: A Call Away

- Christine Green
- Andrea Moore
- Frank Topper

*Call us if you've never done performance evaluations before or if you have a particularly challenging situation*

# Crucial Conversations – Nov 5<sup>th</sup>/6<sup>th</sup>/12<sup>th</sup>/13<sup>th</sup> and 4x/year Graduates:

- Bamrick, Theresa Anne; Battersby, Leslie C.; Becker, Marie A.; Bobczynski, Norman Ives; Boehnlein, Amber; Bonetti, Lisa T.; Brachmann, Axel; Carrone, Enzo; Chaffin, Julia; Colby, Eric R.; Corbett, William Jeffrey; Cottrell, Roger L.; Cutino, Philip G.; Davey, James Edward; Deacon, Ashley M.; DeBarger, R. Scott; Doumani, John; Flath, Daniel L.; Fong, Gail; Fry, Alan R.; Gassner, Georg L.; Gomes Jr., Ernie T.; Haase, Andrew; Heimann, Philip; Himel, Thomas M.; Juni Ferreira, Marcelo; Kelez, Nicholas; Kenney, Christopher J.; Ligeti, Olga M.; Liu, Yuhua; Loos, Henrik; Lowe, Cindy; Lu, Donghui; McMahon, Terrence Thomas; Melen, Shirley I. Mongetta, Lisa; Nelson, Mary E.; Ng, Cho-Kuen; Nuckolls, Helen Marie; O'Donnell, Helen; Pilastro, Yolanda L.; Prado, Hector A.; Rabedeau, Thomas A.; Rafael, Fernando Da Silva; Ratcliffe, Kathleen M.; Robert, Aymeric; Rodriguez, Ponciano A.; Rokni, Sayed H.; Rowen, Michael; Schaufele, Sherrie Lynn; Schuh, Peter M.; Scott, Benjamin D.; Sevilla, Javier A.; Tankersley, Ricky D.; Thayer, Jana B.; Tran, Toni N.; Vaillancourt, Kurt W.; Van Winkle, Daniel D.; Wong, Kong Sing; Wrona, Matthew Walter; Yakimenko, Vitaly; Zscherpel, Lori*

# Reactions? Questions? Payoff?

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# Reference Slides & Tools

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# The Form's Format: One Place for Input, Writing, Scoring, Discussion Support

## Competencies

[https://www-internal.slac.stanford.edu/hr/forms/SLAC\\_National\\_Accelerator\\_Laboratory\\_competencies\\_12-14-10\\_rev.pdf](https://www-internal.slac.stanford.edu/hr/forms/SLAC_National_Accelerator_Laboratory_competencies_12-14-10_rev.pdf)

## Form

- <https://www-bis2.slac.stanford.edu/slaconly/performance/>
- Competencies: essential
- Competencies: leadership/professional
- Scientific achievements
- Evaluation period goals
- Development period plan
- FY14 Goals
- FY14 Development Goals

# Essential Competencies Grid

Performance	Concern	Examples (1-3)	Expectations going forward
<p><b>Attention to Safety:</b> Participates in creating a culture of safety by working in a safe manner; reports unsafe situations and accidents; follows safety and computing security procedures; requests and uses safety equipment and safety techniques; and participates in safety training. Exercises Stop Work appropriately.</p>			
<p><b>Quality of Work:</b> Accuracy, thoroughness, achievement of end results with a minimum of error, commitment to continuous improvement and problem prevention.</p>			
<p><b>Quantity/Timeliness of Work:</b> The amount of work accomplished and the extent to which commitments are met on schedule.</p>			
<p><b>Job Knowledge:</b> Level of expertise in field of work and the extent this expertise is used effectively. The extent to which new information and skills are updated and applied; understanding of work responsibilities and job tasks, as well as judgment exercised.</p>			
<p><b>Interpersonal Skills:</b> Communicates clearly, builds relationships, collaborates well with others, works as part of team and promotes teamwork among others. Ability to express differing views appropriately.</p>			
<p><b>Dependability/Reliability:</b> Can be depended upon to meet reporting responsibilities and in meeting fluctuating workload demands.</p>			
<p><b>Adaptability:</b> Ability to promote and initiate useful change. Flexibility in seeking opportunities in changing circumstances. Tolerate and be effective with ambiguity.</p>			

# Professional/Leadership Competencies Grid

Performance	Concern	Examples (L3)	Expectations going forward
<p><b>Leading and Developing Others:</b>                      Attracts and selects strong people; provides motivating guidance, coaching and constructive feedback; conveys passion appropriately, inspiring commitment; engages and develops the people who can meet SLAC's needs by providing them with meaningful opportunities; models the behavior being asked of others. Provides opportunities to others to take responsibility in order to utilize and develop skills and abilities. Accurately analyzes subordinate's level of performance; provides performance feedback and reinforcement.</p>			
<p><b>Making Decisions Effectively:</b>                      Seeks out all relevant information in an effort to make effective decisions; makes sound decisions based upon a mixture of analysis, wisdom, experience and judgment; recognizes trade-offs; is able to negotiate and find a balance between needs and views of many constituents; is decisive and takes action; is sought out by others for advice and solutions.</p>			
<p><b>Accountability:</b>                      Assigns and accepts responsibility for work and decisions; initiates and sets clear objectives and measures for self and others; monitors process, progress, and results; recognizes and supports the importance of "ownership".</p>			
<p><b>Building and Maintaining Relationships:</b>                      Works effectively with others; joins in the collaborative efforts of the University; forges synergies and encourages cooperation when building and developing teams; uses networks effectively; exercises effective influencing skills when seeking and building consensus.</p>			
<p><b>Innovation and Initiative:</b>                      Ability and willingness to work with minimal direction and to anticipate and meet organizational needs. Willingness and persistence in seeking solutions to problems both within and beyond areas of direct responsibility. Offers creative suggestions for improvement and develops new and unique approaches to work processes and products.</p>			
<p><b>Drive for Results:</b>                      Through the efforts of workgroups and teams, achieves objectives in given timeframe. Takes calculated risks and accepts responsibility. Is a good steward of organization's resources, both property and financial. Delivers maximum results with focus on scientific mission.</p>			

# Where is Your Employee? How Do You Want The to Grow? An Employee Development Tool from Stanford

POTENTIAL

<p><b>GROW</b> Employee is still learning a new job or role (often within 6 months of assuming new role); typically employee is meeting objectives, but we expect more; expectations should be documented.</p>	<p><b>PROPEL</b> Employee demonstrates sustained strong performance and effectiveness, achieving all and exceeding some individual goals and expectations; employee is still developing skills/competencies; expectations should be documented.</p>	<p><b>ADVANCE</b> Employee demonstrates sustained highest performance and effectiveness, consistently performing beyond expectations, achieving all &amp; exceeding most individual goals, often with breakthrough results; employee shows interest and aptitude to advance and models positive behaviors; expectations should be documented.</p>
<p><b>TRANSFORM</b> Employee's current performance is inconsistent, often just meeting or missing objectives; employee has capacity for more; expectations for transformative improvement should be documented in a Performance Improvement Plan (PIP)</p>	<p><b>DEVELOP</b> Employee demonstrates sustained effective performance currently working "at level"; development / career plans and expectations (especially to keep skills current) should be documented.</p>	<p><b>LEVERAGE</b> Employee demonstrates sustained strong performance and effectiveness, achieving all and exceeding some individual goals and expectations; employee models positive behaviors; expectations should be documented.</p>
<p><b>TRANSITION</b> Employee's current performance is inconsistent and/or inadequate; there needs to be a dramatic change in their approach to work documented in a Performance Improvement Plan (PIP) and/or Transition Plan</p>	<p><b>IMPROVE</b> Employee's current performance is adequate, often meeting objectives; however capacity and interest in excelling beyond basics of role is unclear; expectations should be documented in a Performance Improvement Plan (PIP)</p>	<p><b>SUSTAIN</b> Employee demonstrates sustained strong performance; employee models positive behaviors; expectations should be documented.</p>

RESULTS

# Great Short Articles on Performance Evaluations

How To Talk So Employee Performance Produces Results

[http://humanresources.about.com/od/manageperformance/a/talk\\_results.htm](http://humanresources.about.com/od/manageperformance/a/talk_results.htm)

Holding Difficult Conversations: Discussing Performance Appraisals and Performance Improvement

<http://www.training.oa.mo.gov/solutionsarchive/Winter2009.pdf>

The Ultimate Crucial Conversation

<http://johnbossong.com/2013/08/15/the-ultimate-crucial-conversation/>