
Clinton O. Longenecker, Ph.D.
Sheri Caldwell, Ph.D.
Getting Started Speed Interviews

Jot down your answer to the 3 Questions Below:
Take One Minute For Each Question
(3 Minutes Total)

Questions:
1. What is the best thing about your job?
2. What is the biggest work-related challenge for you right now?
3. Name one good thing and one thing that needs improvement with your current appraisal process.
“If you think I’m doing such a lousy job, why do you get so upset when I don’t show up for work?”
THE
GETTING
RESULTS
RESEARCH
PROJECT
THE GETTING RESULTS RESEARCH PROJECT: OUR STUDY

STUDY BACKGROUND: To explore how high performance managers go about “getting results” we conducted a three-phase research study across nearly every segment of the U.S. economy.

Phase One: We surveyed a cross section of over 1600 managers, identified as “high performers,” by their organizations and asked them to describe “key factors for getting results” based on their experience as business leaders.

Phase Two: We interviewed an additional 400 high performers to further explore the issue of getting results and to provide specific examples, accounts and practices for achieving superior performance in rapidly changing enterprises.

Phase Three: A follow-up study with an additional 1,000 “high performance” business leaders has been completed in the past three years to further explore the “best practices” of these business leaders to determine the impact that the global economy is having on key leadership practices.
WHAT WAS LEARNED ABOUT HIGH PERFORMING BUSINESS LEADERS?

High-performing business leaders practice the fundamentals every day. They do it with discipline and energy & tailor their approach for each individual employee.

The six practices or themes emerged...
Practice #1: THEY CREATE FOCUS!

- They know the mission, create metrics to clear clarity of purpose, they carefully frame each employee’s role in the operation, and they define their own value-added role in the operation.
- They say, “Here’s where we’re going…” so people use time and resources wisely.
  - This was true regardless of level... front line supervisor, C-suite.

Take-away: Encourage your leaders to take time to create objectives and tangible deliverables, otherwise, busy managers won’t have these discussions proactively and will wait until there is a problem.
Practice #2: THEY PREPARE FOR BATTLE!

- Before turning people loose to work, they equip them with the requisite information, appropriate staffing levels, training, and tools they need to be successful!

Take-away: Proactively make sure employees have what they need to be successful.

- How do these first two practices tie to the formal performance appraisal process? Think about that and we’ll discuss it more... let’s go to the next practices...
Practice #3: THEY CREATE A CLIMATE FOR RESULTS!

- They monitor and track important performance variables on an on-going basis and remove performance barriers quickly.
- They create employee ownership of desired outcomes.
- They Manage By Wandering Around (MBWA) and they interact and observe performance and then provide feedback and coaching on an ongoing basis.

Take-away: These same managers can then see problems that are in the way of success and can help solve problems and remove roadblocks in a timely fashion to help their employees succeed.
Practice #4: THEY FOSTER PEOPLE POWER!

- They lead-by-example and by demonstrate character and competency.
- They forge 360 degree working relationships.
- They foster teamwork and cooperation and constantly share information so everyone is informed.
- They motivate their teams by creating ownership and accountability around desired outcome.

**Take-away:** They encourage everyone at all levels to work together toward the same goal.
Practice #5:
THEY PRACTICE RENEWAL!

- They improve their processes.
- They develop their people.
- They develop themselves.

✓ What can we do to help you improve and help you get better results?

Take-away: It’s about preparing and equipping for future success!
Practice #6: THEY TREASURE TIME!

High performer are very time sensitive: They treasure time!

- Out of curiosity, *what’s your most important resource at your organization today?*

  - Most say Time and People.

**Take-away:** “Time” usually trumps “people.” When you’re busy, you push people-issues aside. Use time wisely so people don’t get short-changed.
KEY QUESTION:
Can a business leader deliver superior performance, if they do not effectively execute the practices that make for effective performance planning, management, appraisal and review?
PERFORMANCE APPRAISAL AND REVIEW EFFECTIVENESS IS ALWAYS A FUNCTION OF:

ABILITY x MOTIVATION x SUPPORT

Ability = Rater Talent and Skill
Motivation = Rater Willingness and Values
Support = Rating Form/Process and Organizational Culture
Most organization put a lot of time and energy around the actual appraisal form used.

✓ The check sheet on the following page is the result of what hundreds of HR Leaders identified as good attributes to have on effective rating forms...
AN ASSESSMENT OF EFFECTIVE PERFORMANCE APPRAISAL FORMATS

Instructions: In the space provided below evaluate your organization’s current rating form against the benchmarks of effective rating forms described by the participants in this study. Any ratings that are less than TO A GREAT EXTENT are opportunities to improve your organization’s performance appraisal rating form.

TO WHAT EXTENT DOES OUR RATING FORM EFFECTIVELY...

1. Deliver clearly stated goals and instructions on the how the rating procedure operates.
   - O Not at All
   - O To Some Extent
   - O To a Great Extent

2. Serve as a vehicle to link the rating process to the employee’s actual job description.
   - O Not at All
   - O To Some Extent
   - O To a Great Extent

3. Provide a balanced focus in the rating process between desired ENDS (duties and goals) and MEANS (traits and behaviors).
   - O Not at All
   - O To Some Extent
   - O To a Great Extent

4. Include clearly defined performance rating criteria with appropriate descriptors.
   - O Not at All
   - O To Some Extent
   - O To a Great Extent

5. Employ a reasonable range (3-5 categories) on all rating scale items that are properly anchored.
   O Not at All    O To Some Extent    O To a Great Extent

6. Provide space for the employee to self-appraise their performance.
   O Not at All    O To Some Extent    O To a Great Extent

7. Allow room to provide specific examples and written comments for performance feedback to the employee.
   O Not at All    O To Some Extent    O To a Great Extent

8. Offer a section to discuss and plan for employee development and improvement.
   O Not at All    O To Some Extent    O To a Great Extent

9. Include a summary rating of the employee’s overall performance.
   O Not at All    O To Some Extent    O To a Great Extent

10. Provide space for employee comments to respond to the evaluation and signatures for the employee, manager, and third party signature with dates.
    O Not at All    O To Some Extent    O To a Great Extent
Current Trends: 14 Key Research Findings

**Background:** Case study analysis of Current Trends of the Formal Performance Appraisal Systems of 183 medium and large organizations Across the U.S. over the past few years.

*In this investigation, the formal appraisal process and rating form from each organization was reviewed and an interview was conducted with at least one member of each participating organization to explain how his/her process functioned.*

*On average, at the time of this study, the rating process being used was 5½ years old and nearly 30% of the organizations were in the process of reviewing and revising their appraisal procedure.*
KEY RESEARCH FINDING:

1. **76%** of the organizations had a clearly stated **purpose(s)** and **articulated goals** for conducting formal appraisals and reviews.
KEY RESEARCH FINDING:

2. **67%** of the rating forms had detailed instructions and guidelines attached.

- Without instructions, we’re setting the stage for managers/employees to merely go through the motions = counter-productive!
3. **Shortest** form = 1 page(s).

   **Longest** form = 25 pages.

   **Average** form = 5 pages.

- Key: Focus on the appropriate things in an efficient and effective way.
KEY RESEARCH FINDING:

4. **94%** of the organizations used some form of **electronic** or **web-based** platforms for completing the rating forms.

- Biggest concern is confidentiality!
- Tell them who has access = candid feedback.
KEY RESEARCH FINDING:

5. **37%** of the organizations **required formal rater training** for their managers.

*Traditional:* Training is about the form, planning, reviewing and coaching so sign up = No one wants to sign up.

*New Approach:* A workshop designed to enhance your ability as a leader to deliver superior results with and through your people in the next year = intrigue... they’re busy, you need better results so equip them to perform at a higher level.
KEY RESEARCH FINDING:

6. **19%** of the organizations **offered employee training** as to their role in the process.

- Take a couple hours to teach them how to set goals, time management skills and how to write better self-appraisals = a bigger bang for your buck.

- Makes the managers’ jobs easier too!
KEY RESEARCH FINDING:

7. In **96%** of the organizations surveyed, the employee’s immediate supervisor was responsible for conducting the appraisal.

- The rest used peers, 360, consultants, etc.
- In a virtual marketplace, re-think who is in the best spot to conduct an effective appraisal.
KEY RESEARCH FINDING:

8. **20%** of the rating forms allowed for **employee self-appraisal**.

- Should you use the same form for the self-appraisal as you do for the formal review?
- Consider the Contribution Review instead.
- Use as a qualitative approach vs. checkmarks in a box.
KEY RESEARCH FINDING:

9. **85%** of the appraisal forms rated employees on specific **traits** and **behaviors** while **52%** used goals or specific/desired performance outcomes.

*One form may be easier, but it’s not always better... evaluate real contributions and process!**
KEY RESEARCH FINDING:

10. **79%** of the organizations used a combination of rating scales and narrative techniques.
KEY RESEARCH FINDING:

11. **84%** of the rating formats used **a summary performance rating**.
KEY RESEARCH FINDING:

12. 27% of organizations had an additional rating form component for management personnel appraisals.
13. **71%** of the organizations conduct formal appraisals **annually**, while **24%** conducted appraisals **semi-annually** and **5%** quarterly.
KEY RESEARCH FINDING:

14. **92%** of rating processes required at least **one (1) other person** (not the rater) to sign off, while **54%** required at least **two (2) other people** to sign off on the review.
10 LESSONS FOR GOLD MEDAL APPRAISALS
(The GOOD of the Good, Bad and Ugly)
Lesson #1:

Think of the formal performance review process as “strategic planning” for a business unit of one person.

(SBU1 Contribution)

Each employee is important to the organization and our own success... if those around us aren’t equipped, look in the mirror.
Lesson #2:

The best appraisal rating format and process is one that is easy for managers and employees to understand and use.

Engage Users!
Lesson #3:

Never assume everyone knows and understands the purpose and goals for conducting formal appraisals. Get all levels involved – “buy in” is key!

Why Most Organizations do Performance Reviews:
Documentation, Clarification, Compensation & Improvement!
Lesson #4:

Keep appraisal instructions and guidelines simple and handy for raters and employees alike.

Following Directions Helps!
Lesson #5:
Effective rater training is crucial for appraisal effectiveness - Otherwise ineffectiveness soars!

Rater Competency!
Lesson #6:

Employee appraisal training and self-appraisals are underutilized components to improve appraisal effectiveness.

Give them an opportunity to state their contributions.

Engagement!
Lesson #7:

Hard to translate traits and behaviors to direct results. There needs to be greater emphasis on expectations/employee contributions. (less than 60% of the forms did this!)

Ensure Managers Plan & Determine Deliverables with Employees to Create a Blueprint for Success for Everyone!
Lesson #8:

While formal appraisals are typically once a year, employees crave more regular and ongoing structured performance feedback.

Ownership & Accountability!
Top 3 Triggers for People to Get Feedback On The Job:

#1 A problem
#2 A restructure
#3 A formal performance review

➢ Usually, these happen infrequently.

➢ If we hold back and don’t give regular feedback, we take away employees’ opportunity to feel appreciated and lose ownership and accountability.

➢ Coach leaders to give on-going, tailor-made feedback!
Lesson #9:

Employee development is typically a weak space on most evaluation forms.

Create a Development Mindset!
Lesson #10:

Appraisals must start at the top if they are to be taken seriously.

Get the C-Suite involved!

Actions Speak Louder than Words!
Contribution Reviews

- Better help achieve organization’s goals and contribute to the bottom line.

- More easily identify high potential employees through assessment, measurement and development.

- Utilize Goals/Objectives, Key Performance Indicators (KPI’s), Competencies and Performance Standards.
Employee Contribution Review Example

- **Contributions to Organization:**
  - What results are you being paid to deliver to ABC Corp?
  - In other words, what contributions are you being asked to deliver?

- **Best Thing:**
  - What is the best thing about your job with ABC Corp?

- **Biggest Challenge:**
  - What is the biggest challenge you have with your role?

- **Goals:**
  - What are your goals for 2013? How can I help you achieve these goals?

- **Questions:**
  - Please list any questions you have or would like to discuss.
Employee Contribution Review Example - Continued

• Have a place for **COMMENTS** after each section and have a place for summary comments for both the manager and the employee.

• **Mutual Goals** for Upcoming Performance Year with a target date.

• Sign and date.
Notes for Manager’s Contribution Review Form

• Be sure to identify expectations, goals & outcomes for employees for the stated performance period.

• Include an improvement plan section & how you will support the employee in his/her efforts.

• For goals, you can “define” performance and even score or evaluate KSA’s.
  
  ➢ Ex. – Employee completed and documented 20-hour safety training and assessment on time without error.
Most important factor for career success/survival

• 2011 Drake Business Review study asked 6000 professionals what their most important career success/survival factor was.

• Their answer: Deliver desired results consistently.

• It’s plain and simple: High performance business leaders focus on people’s contributions and their ability to get results.

• Note to self: Deliver better results in a shorter time frame with fewer resources = strategic.

• Don’t throw away the opportunity to make an impact!
WHAT QUESTIONS MAY WE ANSWER?

THANKS FOR DIALING IN AND FOR BEING A GREAT GROUP!

LEAD WELL & MEASURE REAL CONTRIBUTIONS!