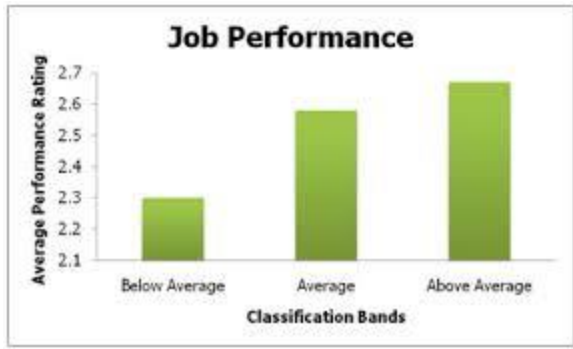


SESSION 3 JOB PERFORMANCE

HUMAN FACTOR II

JOB PERFORMANCE

[Pick the date]

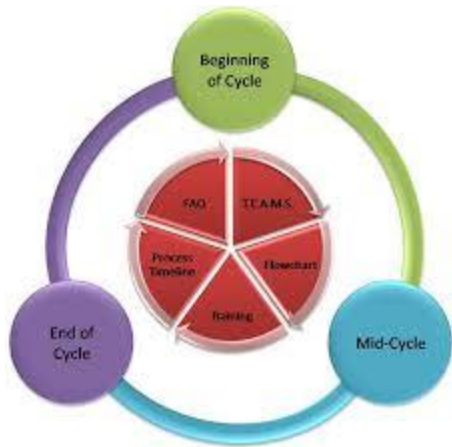


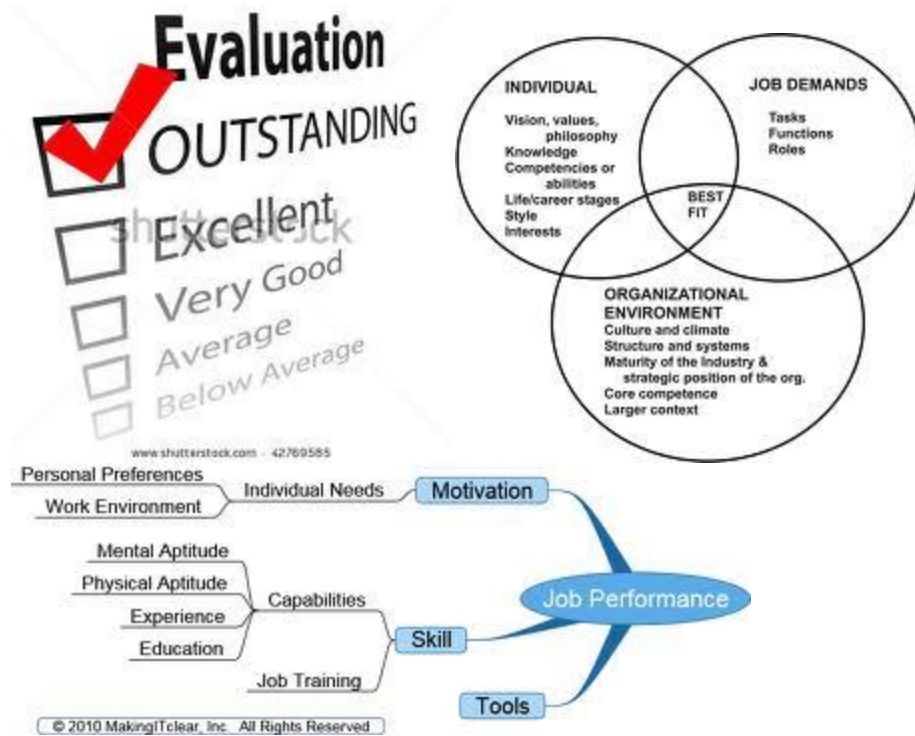
Job Performance Wheel



CONTINGENCY THEORY OF ACTION & JOB PERFORMANCE (Eysenck, 1982)







Evaluating the Performance of an Organization

What Are SMART Goals?

An important part of managing your performance is establishing goals for the upcoming year. The purpose of setting these goals is not to detail your daily activities, but to help you define larger challenges that you will work toward over the upcoming year. To ensure that employees write effective goals, Drexel and DUCOM utilize the SMART criteria:

- Specific
- Measurable
- Ambitious and Achievable
- Results-based
- Time-bound
 - Creating SMART goals helps you and your manager clearly understand what is expected from you in order to ensure that you are properly evaluated.

• How to Write SMART Goals

- In order to be effective, every goal you write should adhere to each of the SMART criteria:
- **Specific**
- The goal should define specific results and provide concrete details on what is to be achieved. For example, "Start writing a monthly department newsletter" is more specific than "Improve inter-department communication"

Ambitious and Achievable

Goals should be challenging and go beyond your day-to-day duties while at the same time be achievable.

Results-based

When writing, state the results to be achieved rather than the activity or work processes leading to those results. Focus on what you are responsible for accomplishing.

Time-bound

Establish a time limit. State the date by which results must happen, or, for ongoing expectations, specify how often the goal or expectation must be met as well as how often it will be reviewed.

Example SMART Goals

- To reconcile the department financial reports by the fifteenth of every month with no increase in reconciliation errors.
- To lead the assessment and redesign of the department's webpage in order to create a professional and student-focused website. Develop, revise, and design by September 2010.
- To reduce overtime in the department from 150 hours per month to 50 hours per month by the end of the fiscal year with no increase in student complaints

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Measurable

When writing the goal, define how you and your manager can measure its success. There are several ways to measure goals:

- Behavior: An observable change in an employee's actions
- Quantity: A numerical increase or decrease
- Quality: How well the result meets the criteria set in a goal
- Cycle time: Time from request to completion; processing time
- Efficiency: Resources (time, budget, people) applied to achieve the result

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Performance Goals vs. Development Goals

Performance Goals

Performance goals are the “what” you are working to accomplish. They are tied to departmental and/or organizational strategic priorities. Below is an example of a performance goal:

Billing Management

Implement an enhanced billing management process through web based technology by April 30. Develop a master design document, and creating stakeholder buy-in and awareness. Ensure functionality of system and new form. Develop the communication and implementation plan for the new process by the end of September. Ready for delivery in mid-October.

Development Goals

Development goals focus on areas you want to develop in order to grow in your job or advance in your career. Below is an example of a development goal:

Public Speaking

To increase my effectiveness in giving presentations I will join Toastmasters by March 31 and attend at least 6 monthly meetings by the end of the year. I will ask Ted Thomas to provide feedback using the Toastmasters format on my presentations after each staff meeting during the year.

Being Effective in Your Role

While SMART goals are important, remember that you are judged on both goals and competencies. Goals define what an employee is tasked with achieving throughout the performance cycle, while competencies define how an employee completes his or her goals and day-to-day activities. Goals and competencies are not mutually exclusive, but are two halves of an effective whole. Here are some tips to help ensure that you are effective in both goals and competencies:

- Make an effort to understand the goals of your position, your department, and the University, and draft personal objectives for the year to support those goals.
- Seek clarification when needed to understand expectations.
- Provide performance documentation and feedback to your manager.
- Keep track of performance throughout the year using your calendar or a journal to record your accomplishments and challenges.
- Act on your manager's feedback and coaching.
- Work with your manager to evaluate performance – both during your review and throughout the year.
- Look for opportunities to improve your work.
- Take advantage of professional development opportunities, including training, conferences, and Drexel coursework.

Documenting Performance

When documenting performance, note both what and how. Performance goals define what an employee is tasked with achieving throughout the performance cycle, that is, expectations for results. Competencies define how an employee completes these tasks, that is, the behaviors they use as they work to deliver results. Goals and competencies are not mutually exclusive. Rather, they are interdependent parts of effective performance. For example:

- An employee who achieves outstanding results but who leaves bruised relationships in his or her wake is not likely to be able to maintain these results over time, especially if they require the help and support of others.
- An employee who is outstanding at maintaining excellent interpersonal relationships but does not deliver results undermines the performance of the team, function, and possibly the university.

It's only by documenting both what and how that anyone can accurately assess an employee's performance.

Evaluating Performance

- **Ask employees to self-evaluate.** Feedback from employees on their own performance provides their perspective and a starting point for the performance discussion.
- **Seek feedback from key co-workers.** This provides a full picture of interactions.
- **Consider the degree of difficulty in assignments.** Is this the same work as in the past or something newly acquired? Has their work expanded in scope or amount of responsibility? Were there any projects that caused great results with little contribution?
- **Judge performance, not potential.** Focus on actual contributions and results achieved. This is a review of “accomplishments”, not of “potential.”
- **Judge achievement, not progress.** Be diligent about reviewing successful attainment of positive results and contributions during a fixed period of time rather than crediting effort, activity, or progress.
- **Review performance for the entire cycle.** The evaluation must reflect an employee's performance over the whole period of time covered by the review. One month of outstanding performance does not offset eleven months of mediocre performance, even if it occurred in the month immediately preceding the review.

- **Review each objective independently.** Do not let reviews of one objective influence the review of another. Employees often do better in some areas than others. Therefore, review each aspect of performance independently of others.
- **Be a courageous, conscientious reviewer.** This may be the toughest guideline of all. Managers who succeed here are scrupulous about giving a favorable evaluation of performance only when the employee has really earned it. They know that the easy, comfortable route is to give people a "break" or the benefit of the doubt – no conflict, no difficult review discussion.
- **Avoid rating pitfalls:**
 - **Leniency**—The tendency to use a less stringent set of standards to rate an employee, resulting in an inflated rating.
 - **Halo Effect**—The tendency to give an employee an overall rating, either positive or negative, based on the evaluation of a single performance objective, which results in an inaccurate evaluation of overall performance.
 - **Central Tendency**—The tendency to avoid rating employees at the high and low extremes and to cluster all ratings at the center of a rating scale.
 - **Impressions**—The tendency to rate an employee on the basis of impressions and gut feelings rather than on concrete, observable examples of performance, behaviors and skills gathered over a period of time.
 - **Recency Effect**—The tendency to rate an individual on his/her most recent performance or contributions rather than on performance during an entire review period.

Discussing Performance

An important part of the performance review process is meeting with your manager to discuss your review. Your manager should provide you with a copy of his or her evaluation before the meeting so you can look it over prior to discussing it. Then, in the meeting, you and your manager should:

- Review your performance goals and competencies one-by-one
- Discuss themes and your overall performance rating
- Address career development and opportunities
- Work together to create SMART performance goals and at least one development goal for the coming year

If you have any questions about what is expected of you during your performance discussion, ask your manager.



An organizational assessment is a systematic process for obtaining valid information about the performance of an organization and the factors that affect performance. It differs from other types of evaluations because the assessment focuses on the organization as the primary unit of analysis.

Organizations are constantly trying to adapt, survive, perform and influence. However, they are not always successful. To better understand what they can or should change to improve their ability to perform, organizations can conduct organizational assessments. This diagnostic tool can help

organizations obtain useful data on their performance, identify important factors that aid or impede their achievement of results, and situate themselves with respect to competitors. Interestingly, the demand for such evaluations is gaining ground. Donors are increasingly trying to deepen their understanding of the performance of organizations which they fund (e.g., government ministries, International Financial Institutions and other multilateral organizations, NGOs, as well as research institutions) not only to determine the contributions of these organizations to development results, but also to better grasp the capacities these organizations have in place to support the achievement of results.

Example

Examples of Application of Organizational Assessments

- The Multilateral Organization Performance Assessment Network ([MOPAN](#)) is a group of 16 donor countries that have joined forces to assess the performance of the major multilateral organizations which they fund. MOPAN has developed an assessment approach that draws on perceptions and secondary data (i.e., documents) to assess the performance of organizations with a focus on their systems, behaviors, and practices (or capacities). The exercise is used to encourage discussion among donors and multilateral organizations about ways to enhance organizational effectiveness.
- In 2011, an evaluative [report](#) was disseminated by the [International Monetary Fund](#) (IMF) regarding its performance leading up to the global financial and economic crisis. Among the factors that hampered the organization's ability to detect important vulnerabilities and risks, the report highlights the pervasiveness of cognitive biases and groupthink as well as the operational structure of the organization: on the one hand, it was widely believed in the organization that a financial crisis could not happen in a large advanced economy and on the other, the existence of a silo mentality prevented information from being shared across units and departments to help predict the crisis. The assessment results are being used by the IMF's board and executive management to revise how the organization operates.
- The [Center for Effective Philanthropy](#) developed a [conceptual framework](#) for assessing the performance of foundations. This framework provides a way for a

foundation to infer the social benefit created by its activities relative to the resources it invests, and aims to allow its leaders to understand the performance of their organization over time and in relation to other foundations. In 2011, the center [surveyed](#) CEOs American foundations and found that nearly 50% of respondents conducted organizational assessments, notably to learn and improve their foundation's future performance, to demonstrate accountability for their foundation's use of resources, and to understand the impact of their foundation's work.

Frameworks

A number of models or frameworks for conducting an organizational performance assessment exist. The choice of which framework (or combination of frameworks) to use depends on the nature of the organization, on [the purpose](#) of the assessment, and on the context in which the assessed organization operates. The [Reflect and Learn](#) website presents details on the rationale and particularities of various frameworks. As highlighted in a [paper](#) presented on the Impact Alliance website, it is important to note that different frameworks are underpinned by different philosophies and theories of organizational change; an organization should choose a framework that is congruent with its own management beliefs and culture, to ensure that it fully engages in the process and truly benefits from the assessment.

One of the most comprehensive frameworks for Organizational Performance Assessment (OPA) is the Institutional and Organizational Assessment Model (IOA Model) elaborated by [Universalis](#) and the [International Development Resource Centre](#) (IDRC). This model views the performance of an organization as a multidimensional idea, that is, as the balance between the effectiveness, relevance, efficiency, and financial viability of the organisation (see schematic diagram below). The framework also posits that organisational performance should be examined in relation to the organisation's motivation, capacity and external environment. Indeed, a review of the literature conducted as a preliminary step for developing the framework showed that organisations change: in response to factors in their external environment, because of changes in their internal resources (e.g.,

financial, technological, human), and as a result of fundamental shifts in values within the organisation, which in turn affect the organisational climate, culture and ways of operating. The book [Organisational Assessment: A Framework for Improving Performance](#) by Lusthaus et al. further details the IOA Model and discusses key methodological issues for carrying out an OPA. Meanwhile, [Enhancing Organisational Performance: A Toolbox for Self-Assessment](#) by Lusthaus et al. provides tools and tips for organizations wishing to conduct an OPA. Both these resources are publically available (in French and English) on the [IDRC website](#).



Source: [Universalialia](#) Institutional and Organisational Assessment Model (IOA Model)

Key resource: As highlighted above, the [Reflect and Learn](#) website presents a range of frameworks for conducting organisational performance assessments. The site also introduces the process and management of OPAs

and provides a database of concrete tools that organisations can use to carry out assessments.

Important considerations.

A Self-Assessment or an External Assessment?

A key decision that an organisation needs to make when undertaking an organisational assessment is whether to self-assess its performance, to commission an external assessment, or to use a combination of both approaches. Some advantages of a self-assessment are that it encourages the organisation's ownership of the assessment, and thereby increases the latter's acceptance of feedback and commitment to the evaluation's recommendations. However, drawbacks of the self-assessment approach are that external stakeholders may question the independence or validity of the findings and may fear that hard issues will not be tackled, due to potential sensitivities within the organization.

What issues to prioritize?

As underlined by Kathleen Immordino in her [book](#) on organizational assessment in the public sector, the questions an organization needs to ask as part of an assessment depend on the specific context of the organization. "In any complex organization, there are innumerable 'things' that can be measured and studied. An effective assessment process focuses on those things that have the greatest impact on the way the organization functions." Practical considerations which may guide the selection or prioritization of key questions for an organizational assessment are: i) the time required and resources available to answer each question; ii) the organization's purpose for conducting an assessment (for example, a desire to strengthen accountability or a desire to inform a new strategic planning cycle); and iii) the need to balance the interests of multiple stakeholders.

Once an organization has a clear picture of what it wants to measure, it will need to identify what indicators (quantitative and qualitative) to use to assess its performance. This can be one of the more challenging steps in the organizational assessment process as a plethora of potential indicators may

appear useful, but weeding out the ones that really matter and that answer the assessment questions can be difficult.

Challenges of selecting indicators as part of the Organisational Assessment process

- Measuring something within an organisation can increase its importance: for example, a social service NGO that chooses to track the number of people it serves within a community may end up trying to increase the number of people it visits and to reduce the time spent with each person (with potential consequences for the quality of the services rendered).
- Simple indicators may not always fit the bill and may need to be combined: Developing adequate indicators to measure the complex dynamics that exist within an organisation can be quite challenging. Organisations may develop a set of carefully considered indicators but need to modify them over time as they analyze their results.
- Indicators may be interpreted differently amongst stakeholders: For example, an indicator that measures the diversification of funding of an organisation to assess its financial viability can be viewed positively by certain stakeholders, as diversification signifies that the organisation is not overly reliant on a single donor. Meanwhile, other stakeholders may view this measurement in a negative light, as dealing with multiple donors can lead to fragmentation and increased organisational costs in order to manage multiple donor requirements (each donor may have its own priorities, expectations, systems, and evaluation and reporting requirements).

What to consider in selecting the options?

Organisational assessments follow the tradition of a case study methodology. A case study requires a research design that focuses on understanding the unit (the organisation) and can use a combination of qualitative and quantitative data. The choice of options depends on the specific circumstance for the organisation and its stakeholders. We have found that observation (site visits), document review, interviews and surveys are some of the most common options used. Site visits and observation provide vital information on the facilities, physical artifacts, and interactions between staff of an organisation. Meanwhile, a document review

is used to follow the written record of the organisation: meeting minutes, reports, policies, etc. **Interviews** are a prime source of data for organisational assessments and should be conducted with a wide range of respondents (both male and female). **Surveys** are particularly useful for gathering data from a large number of people and for obtaining information regarding people's attitudes, perceptions, opinions, preferences, beliefs, etc. These four data collection options can be used to triangulate information and validate conclusions: using more than one data source can help identify discrepancies between what people say and what people do, as well as between what the organisation is and what it ought to be.

Factors that support the use of results of the assessment

Organisational assessment results have a wide variety of uses. For instance, they can be used by an organisation to build its capacity, to validate its work, to promote dialog with funders or partners and to help devise its strategies for the future. However, to ensure that results of the organisational assessment are used, their use must be planned for by the organisation from the onset of the assessment, as well as considered throughout the implementation phase and even once reports have been submitted and disseminated. Some conditions which enhance the utilization of the results are when:

- The purpose and benefits of the assessment are clear to the organisation's stakeholders.
- The main focus of the assessment is on learning rather than on accountability.
- Internal leadership is identified to champion the process and results of the assessment.
- The organisational culture is one that supports use of positive and negative feedback in planning and managing change
- Stakeholders are involved in the assessment process (from the negotiation and planning stages).
- Stakeholders see the assessment as relevant, credible, transparent, of high quality, and the findings have face validity.
- The assessment team is able to communicate the intent of the assessment, their approach, and the results to senior staff and board members.

- The report is timely (i.e., produced at an opportune time within the planning cycle of the organisation).
- There is a process in place and resources allocated to implement and follow-up on the assessment's recommendations.
- Recommendations are realistic and feasible (for example, financially).

Performance Evaluation

Annual performance reviews are a key component of employee development. The performance review is intended to be a fair and balanced assessment of an employee's performance. UT Policy HR0129, Performance Review, specifies that the objective of the annual review is to provide all regular University staff and their supervisors an opportunity to:

- Discuss job performance
- Set goals for professional development
- Establish objectives for contributing to the department's mission
- Discuss expectations and accomplishments

Several resources are available to help prepare supervisors and employees for the performance evaluation process:

- Online training – [Performance Review E-learning Course](#)
- In-person training – Knoxville-area training sessions are scheduled for 2013-2014. Click [here](#) to see the schedule and register.

Forms

The **Performance Review Summary Form** is intended to serve for all staff members. A detailed explanation of the summary form's components and instructions about how to use the form are included in the [Performance Review Instruction Form](#). The **Performance Review Summary Form** is available in the following formats for your convenience:

Multiple Reviewers

Only one performance review can be submitted per staff member. If an employee is evaluated by more than one supervisor, the supervisors must come to agreement on one overall score.

Unsatisfactory Performance

Overall performance ratings of 9 and below are considered unsatisfactory. These ratings align with the "unsatisfactory/rarely achieves expectations" category.

Ineligibility for Pay Increases

Staff members receiving unsatisfactory overall performance ratings of 9 or lower are ineligible for across-the-board pay increases. Also, staff on current written warning, final written warning or suspension without pay or employees who received a disciplinary demotion in the twelve months immediately preceding the effective date of the across-the-board increase are ineligible until the disciplinary action is resolved. Approval by HR and campus/institute leaders is required to provide or withhold an across-the-board pay increase outside of these guidelines.

Required Signatures

Performance reviews require the combined signatures of the employee, the employee's supervisor and the supervisor's supervisor to ensure consistency and fairness. Performance review forms are not accepted until all three required signatures are included. The provision does not apply to the President, Vice Presidents and other executive-level supervisors who report directly to the President, Chancellors and Vice Chancellors.

Required Performance Improvement Plan

Staff members who receive unsatisfactory overall performance ratings of 9 or lower are required to participate in a **Performance Improvement Plan**. A copy of this document should be submitted to HR along with the Summary Form. Performance improvement plans are also highly recommended for staff members who receive overall ratings of 10 to 14. These ratings align with the "sometimes achieves expectations" category.