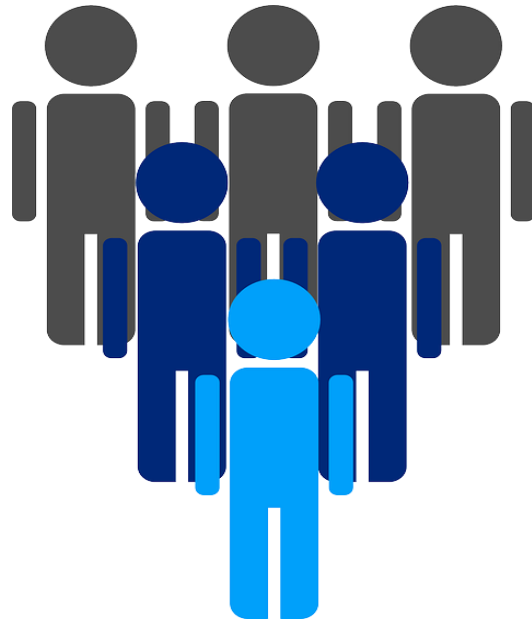


CAP CONVERSATIONS ABOUT PERFORMANCE


A Managers *Guide* to Performance Management



BENTLEY
UNIVERSITY

Human Resources

BENTLEY MANAGER'S TOOLKIT

INTRODUCTION	<p><i>“Remember that people want feedback, more frequent feedback is better than less, effective is contingent on a strong manager-employee relationship, and—most of all—trust determines success.”</i></p> <p>--Dick Grote, author of <i>How to be Good at Performance Appraisals</i></p> <p style="text-align: center;"></p> <p>Performance management is more than an annual appraisal meeting. Supporting your staff's performance and development can be one of the most important, rewarding—and challenging—aspects of being a manager. Bentley's performance management system, Conversations About Performance (CAP), is based on frequent, informal performance conversations between a manager and employee. In general, it provides a structure that includes organic goals, regular check-ins, coaching and feedback, employee development, and an annual review.</p> <p>While some structure is important to the administration of the process, the <i>most valuable</i> component of CAP is the <i>conversation</i> between employee and manager.</p> <p>This <i>Manager's Toolkit</i> is designed as an overview of the tools, resources and guidelines available to support you in your role as a manager in the CAP process.</p>
GUIDING PRINCIPLES	<p>Conversations About Performance is based on a few guiding principles.</p> <ul style="list-style-type: none">• The focus of the performance management system should be on the performance <i>conversation</i>.• The performance conversation is a regular part of the manager-employee relationship, and is a regular occurrence rather than a meeting held once a year.• CAP provides managers and employees with <i>some</i> structure, but <i>less</i> structure than in the past.• CAP emphasizes the organic nature of goals and expectations, and acknowledges that some will be added and others deleted throughout the annual cycle.• CAP requires manager and employee to hold <i>joint</i> accountability; this is not something that is <i>done to</i> the employee.• Performance evaluation is based on both <i>what</i> was done, and <i>how</i> it was done.

<p>CAP CYCLE OVERVIEW</p>	<ul style="list-style-type: none"> • Pay is linked to performance. <p>The performance review cycle is from April 1 – March 31 each year.</p> <p>The timing of the cycle is intended to allow managers time to conduct merit review planning in May.</p> <div data-bbox="675 464 1170 611" style="border: 1px solid #ccc; padding: 5px; margin: 10px 0;"> <p>CAP Cycle Frequent Check-ins are encouraged—minimum of two are required.</p> </div> <div data-bbox="464 632 1138 1024" style="text-align: center;"> </div> <p>See the CAP System Workflow in Workday.</p>
<p>ROLES AND EXPECTATIONS</p>	<p>Many variables impact performance—from individual motivation and clarity of expectations to the resources and tools available to the employee, to the complexity of the job itself.</p> <p>The manager and the employee each have responsibility when it comes to achieving team and individual excellence in performance.</p> <p>The role of the manager in CAP is to:</p> <ul style="list-style-type: none"> • Collaborate with the employee to develop challenging but achievable SMART goals and development activities. • Align individual goals to those of the department and to the University’s mission and strategy. • Begin the CAP cycle by inputting goals to the Workday system. • Incorporate performance discussions into one-on-one meetings. • Schedule at least two Check-in meetings during the cycle. • Recognize the employee’s success and effort throughout the year—in ways the employee appreciates.

	<ul style="list-style-type: none"> • Provide the employee with the tools, training and resources needed to succeed in the job. • Use coaching skills to support the achievement of goals, and influence positive behaviors in line with Bentley’s Competency Dictionary. <p>The role of the employee in CAP is to:</p> <ul style="list-style-type: none"> • Collaborate with the manager to develop challenging but achievable SMART goals and development activities. • Identify and share “success stories” of performance and learn how to leverage them in all situations. • Seek out and act on feedback and coaching. • Hold your manager accountable for scheduling regular Check-in meetings. • Help your manager identify what obstacles may be blocking you from reaching excellence in your performance. • Let your manager know what kind of support you need from him/her. • Seek professional development opportunities to improve professional skills and grow your career.
<p>CAP KICK-OFF – SETTING SMART GOALS</p>	<p>Well-defined expectations are the cornerstone of effective performance management. All employees have a right to know what is expected of them, and it is difficult for a manager to influence performance without clear <i>expectations</i>.</p> <p>Without meaningful goals, we cannot be sure we are doing meaningful work.</p> <ul style="list-style-type: none"> • Meaningful goals... <ul style="list-style-type: none"> ○ Keep the focus on outcomes and results ○ Stretch capabilities and improve skills ○ Help to motivate employees to succeed • Goals are not just project based; goals can define methods, standards, and procedures that clarify how work is done. • Goal setting involves a dialogue between manager and employee, regarding <i>strategic</i> organizational objectives and how these relate to <i>specific</i> job responsibilities. <p>The source for goals might be the Position Description, or the department’s goals. SMART goals can be defined as:</p>

<p>Specific</p> <p>Measurable</p> <p>Attainable</p> <p>Result-Oriented</p> <p>Time Bound</p>	<ul style="list-style-type: none"> • Describe the desired outcome as precisely as possible. What? Why? How? • Numerical or qualitative if possible; clear milestones to determine progress. • Stretch goals + real effort + resources + knowledge + time = accomplished • Results over activities or tasks. Use action verbs. Relevant to broader goals. • When? How often?
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DEVELOPMENT ACTIVITIES

The employee’s development is a shared responsibility between the employee and the manager. Managers should encourage employees to take ownership of this part of the conversation by being prepared to talk about what they would like to do in the future and what they think it will require.

In addition to business goals, managers should collaborate with the employee to determine what development activities would best serve to increase the individual’s effectiveness and preparation for future growth. The development opportunities should focus on reducing the gap between expectations and excellence, while aligning with and supporting the individual’s career plan.

Together with the employee, you should consider opportunities that expand beyond the annual conference within your professional field. Other activities might include:

- Specialty conference or seminar focused on a specific topic
- E-learning opportunity
- Job rotation
- Stretch or project-based assignment
- Classroom training
- Secure a mentor
- Network with others on and off campus

CAP CHECK-INS

Regular Check-in meetings are crucial to the manager-employee performance relationship. Check-ins can occur during any one-on-one meeting, but if this is not possible, a minimum of two formal Check-ins should occur each cycle. This is a time to gauge progress, delete or add goals, and make needed adjustments in support of performance.

Check-in meetings are a formal opportunity for you as a manager to practice coaching skills (see below for more on coaching). The Check-in follows the [appreciative inquiry](#) method of organizational (or personal) development, and is based on a series of recommended questions posed

by both the manager and the employee to structure the dialog constructively*.

<i>Manager asks</i>	<i>Employee asks</i>	<i>Manager asks</i>
<ul style="list-style-type: none"> • What's one thing that's gone well? • What's one thing you want to get better at or improve on? 	<ul style="list-style-type: none"> • What's one thing I am doing well that I should continue to improve on? • What should I focus on next? 	<ul style="list-style-type: none"> • What's one thing I've done to support you? • What's one thing I could do to support you more?

* From Employee Performance Solutions, LLC, 2016

COACHING FOR PERFORMANCE

Ongoing coaching and feedback is the basis of performance management, and should be a regular occurrence between you and your staff. If coaching did not help shape performance and improve results, professional athletes would not need coaching! Coaching provides the opportunity to discuss progress toward goals and the employee's behaviors toward that end. Coaching provides the employee with whatever information is helpful for achieving performance excellence—whether it's praise, constructive criticism, or suggestions.

Coaching and managing involve different activities and skills.*

<i>Managing</i>	<i>Coaching</i>
• Telling	• Exploring
• Directing	• Facilitating
• Authority	• Partnership
• Immediate needs	• Long-term improvement
• Specific outcome	• Many possible outcomes

*From Harvard Business Essentials, 2004.

There are two types of coaching, according to Dick Grote: calendar-driven (formal, structured, in sync with the CAP cycle), and event-driven (in response to a specific incident, informal, on-the-fly).

While feedback is an important component of coaching, it not the only one.

The coaching conversation can be defined by all of these activities, and [Active Listening](#) should ensure that for each of these techniques below, the conversation is productive and positive. Active listening puts people at ease and opens up the conversation because it is non-judgmental.

Coaching Conversation		
Active Listening Used Throughout		
Feedback <ul style="list-style-type: none"> • Objective • Descriptive relative to standards • Value-free 	Guidance <ul style="list-style-type: none"> • Advice • Questions • Suggestions • Encouragement 	Evaluation <ul style="list-style-type: none"> • Praise • Constructive criticism • Compassionate

Feedback – It is critical to successful coaching that feedback focuses on the behaviors and not on an interpretation of them, on value judgments, your opinion of the person, or the individual’s personality. Reiterating expectations and being specific about it in behavioral terms is helpful when maintaining objectivity. Honest and objective feedback from the manager helps to build trust in the relationship.

Guidance – It can be productive to problem-solve with the employee when there is an obstacle preventing him/her from achieving the expected results. Questions (e.g., “What do you think would happen if...?”) or suggestions (“What if you tried doing...?”) are good ways to keep the ownership of the performance with the employee, while supporting the employee in a manner that isn’t perceived as punitive. If the employee generalizes in his/her reply, ask for specific examples.

Evaluation – Coaching may involve evaluating the performance. Sincerely praising what the employee has done well reinforces the behavior. Constructive criticism, when described in behavioral terms, and when the impact of the behavior is included, can be a productive aspect of coaching.

CAP WRAP-UP

At the end of the CAP cycle, the manager and employee meet to review and summarize the performance over the full year. The formal process starts with the Self-Evaluation by the employee.

Managers should strongly encourage their employee to include as many “success stories” as possible in the self-evaluation. Success stories help to

provide reinforcing feedback, but also “feedforward,” which is a process for identifying the factors that contributed to the success, and which can then be leveraged in future situations.

You may rely on the appreciative inquiry method used in the Check-in to open the dialog in the CAP Wrap-up meeting:

Manager asks

What’s gone well? What are you proud of? Be specific, and include behaviors, even minor examples.

What has contributed to those successes? What caused those things to work? What has allowed you to do your best work?

Eliciting **stories of success** helps identify conditions that could support future high performance. Everyone has strengths – it’s key that you know how best to leverage them. Encourage your employee to ask themselves:



Success stories should illustrate performance on two dimensions—the **What** and the **How**.

- **What** – Stories of performance with successful **results or outcomes** for the individual and the organization.
- **How** – Process-successful events when the employee achieved results **without compromising** either their own or others’ **needs**.

The [Competency Dictionary](#) helps define **How** the job is done.

<p>ADDITIONAL INPUT FROM OTHERS</p>	<p>Managers may also seek input/feedback from others who have interacted with or depended on the employee in a regular capacity. This might include a project manager, an internal client, or another manager with significant enough experience working with the employee to provide an informed opinion. CAP allows for managers to solicit this feedback directly through Workday. The employee does not have access to either the feedback provider’s name, or the feedback itself.</p>
<p>WHAT EVERY EMPLOYEE DESERVES</p>	<p>When it comes to performance management, every employee deserves:</p> <ul style="list-style-type: none"> • A clear explanation of the expectations of the role. • Periodic evaluations of his or her progress in meeting the expectations. • Candor in all Check-in and Wrap-up conversations. • An attempt to feed forward based on employee’s strengths. • Specific examples that illustrate the quality of his or her progress. • Constructive criticism outlining any potential areas for improvement. • A review covering the entire evaluation period. • Practical guidance for future efforts to meet the requirements, without promises or guarantees. • Complete confidentiality.
<p>RESOURCES AND TOOLS</p>	<p>These tools are designed to help managers plan for and hold performance conversations.</p> <ul style="list-style-type: none"> • The Four-Box Feedback Model provides managers with a structure to help plan the message, especially for constructive criticism, but it could be used for any feedback. • Behavioral Feedback Guide illustrates the difference between vague or subjective feedback and specific behavioral (“video-able”) feedback. • CAP Wrap-up Conversation Questions helps structure the Wrap-up meeting, similar to the Check-in script. • Responses to Difficult Feedback Situations guides managers through a performance conversation when the behavior in the meeting becomes unproductive.