



PHASE I
PERFORMANCE
PLANNING

ePerformance Trainer Guide
2009

Module: Performance Planning

Module Total Time: 3 Hours and 40 Minutes

- Includes a 10 minute break

Trainer Goals:

- Provide a deep understanding of the Planning Phase
- Demonstrate how to cascade a goal using the Governor's Customer Service Goal
- Demonstrate how to write an Individual SMART goal using the Customer Service Core Competencies for the Successful Performer
- Identify and Create IDP Development Activities

Trainer Flow:

- Objectives
- 4-Phase Model
- Overview
- Performance Plan (What and How)
- Performance Plan (Sections 1 – 4)
- Examples of Weighting
- Overview of Behavioral Competencies
- Section 1: Statewide Competencies
- Overview of Goals
- Section 2: Cascading Goals
- Section 2: Example of State Goal
- Section 2: Developing Cascading/Aligned Goals
- Exercise: Cascading State-Agency-Department Goals (Customer Service)
- Section 2: 5-Point Rating Scale
- Section 2: Successful Performer in Customer Service
- Section 2: Writing SMART Goals
- Section 2: Example of a SMART Goal
- Exercise: Write an Individual SMART Goal for Customer Service
- Section 3: Job Responsibilities
- Section 4: Individual Development Plan (IDP)
- Section 4: Create the IDP
- Section 4: Example of IDP Activities
- Exercise: Write Development Activities for an IDP
- Section 4: Roles in the System Process

Trainer Materials:

- Manager Guide
- Trainer Guide
- System Guide
- Appendix
- Easel Pad or Whiteboard
- Markers
- PowerPoint Slides

Manager Materials:

- Manager Guides for all participants
- 4-page Georgia ePerformance Management Process Job Aid
- Tri-fold Manager System Job Aid
- Tri-fold Employee System Job Aid

Overview

Trainer Notes:

The trainer's role is to instruct, discuss and demonstrate how to establish a strategic planning process that is supported by a 4-Phase Model and created by aligning the State of Georgia's strategic goals and objectives to the performance measurements and outcomes of Agency managers and employees.

Determine if the Agency has established the weighting scale for the upcoming year.

- If yes, identify the weighting scale for Sections 1, 2 and/or 3 PRIOR to the training session. Obtain approval to communicate the weighting scale during the training and inform the managers.
- If no, provide the manager with the previous year weighting (as an example only) and inform the managers of the timeline that the Agency will communicate the weighting scale for the upcoming year.

INTRODUCTION AND OBJECTIVES

SAY: Hello. Welcome to the Performance Planning module of the Georgia ePerformance Management Process training. This module introduces the most critical phase in ePerformance.

REFER TO GUIDE: Module Objectives

SAY: At the end of this module, you will:

- Understand the role of planning in effectively managing performance
- Review the four (4) phases of performance management and establish planning as the foundation of the process
- Preview the role of expectations and become familiar with collaborating on WHAT will be accomplished and HOW it will be accomplished
- Know the importance of cascading goals in accomplishing business outcomes
- Understand weighting, competencies and the 5-Point Rating Scale
- Create a SMART goal

ASK: What questions do you have regarding the objectives of this module? (Responses will vary).

SAY: The next slide illustrates how the planning phase establishes the foundation for performance expectations and measurements and the importance of collaboration between the manager and employee.

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READ PPT: 4-Phase Model (PERFORMANCE PLANNING ONLY).

SAY: Effective performance planning ESTABLISHES the desired performance results for each employee. The 1st phase of the model is the foundation for each employee to be successful in the State of Georgia.

REFER TO GUIDE: Phase I: Performance Planning

SAY: Take a moment on your own to read the highlights of the performance planning phase on the left page in your guides.

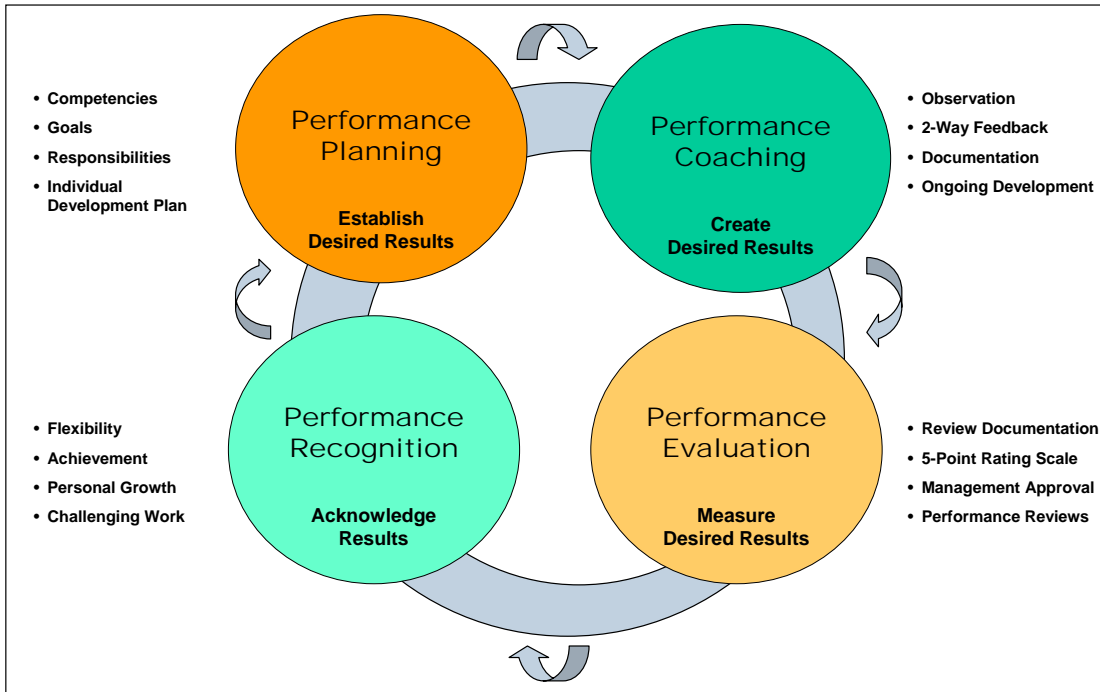
Trainer Note: Allow 1 minute for participants to read the guide.

SAY: Let's take a look at the next slide that provides an overview of the Performance Planning Phase.

TRANSITION



Performance Management 4-Phase Model





Overview

READ PPT: Overview

SAY: At the top of the left hand page in your guide, you will see that the purpose of performance planning is for the manager and the employee to collaborate and develop a performance plan for the employee for the upcoming year. This consists of setting goals and performance expectations that drive performance and align individual objectives with the State and the Agency's mission, vision and strategic goals.

SAY: The next slide provides an overview of the performance plan.

TRANSITION



Performance Planning Overview

- Planning is the **key phase** of performance management
- **Collaborative** process between manager and employee
- **Establishes performance expectations** to include competencies, goals, and responsibilities
- A **performance plan** is developed for the employee in their current and 'next level' positions



The Performance Plan

READ PPT: Performance Plan (What and How)

SAY: As you can see, the Planning Phase sets the tone for performance. It clearly identifies what the employee is expected to do and how they will meet those expectations.

SAY: The performance plan allows the Agency to measure and evaluate results to ensure that the employee and manager's performance links to the Agency and State strategic goals.

SAY: To ensure that the performance plan is a guiding document and meaningful for all stakeholders (State, Agency, Department and Individual), it has to be a "living plan" that managers and employees utilize to establish and measure the expected results.

SAY: This can be achieved by linking the State of Georgia strategic plans, goals and objectives with the Agency, Department and Individual performance goals.

SAY: The next slide provides an example of the 4 sections included in the performance plan.

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The Performance Plan

READ PPT: Performance Plan (Sections 1 – 4)

SAY: As you can see, the plan consists of 4 sections. Sections 1 through 3 are rated at the end of the performance period and are determined by the agency. Section 4 is not rated; however it is a critical component to the ongoing development process used throughout the year to reach desired results.

SAY: Each section is given a weight that represents the importance of each section to the employee's overall performance. Please turn your attention to the last column on the screen and in your guides on the right page...weighting.

SAY: You will notice that the Statewide Competencies in Section 1 can range from a minimum of 25% of overall performance to a maximum of 100%. Agencies determine the weights for Section 1, 2 and 3. Guidelines for determining weights may be Agency specific or manager specific.

REFER TO GUIDE: Agency Specific Guidelines

SAY: At the bottom of your left page you see that different agencies may handle the determination of weights differently. Some agencies may have set weightings for each section for all employees communicated by HR. Other agencies may leave it to an individual manager's discretion. If in doubt, contact your HR office.

ASK: What are your initial thoughts of the weighting process? (Responses will vary).

SAY: It will be important for you to understand your agency process and your role within that process regarding weights.

SAY: The next slide provides two examples of how an agency can determine the performance plan weights.

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Examples of Weighting

READ PPT: Examples of Weighting

SAY: On your left page you see that weighting is determined up front in the performance planning phase by the agency. It is based on the importance of the section and is communicated to the employee so that there are no surprises at the end of the review period.

ASK: What questions do you have for me at this time? (Response will vary).

SAY: The next slide provides an overview of how competencies and behaviors define employee performance expectations that link to Agency and State goals and objectives.

TRANSITION



Performance Planning Examples of Weighting

Example #1: Sections 1-3 are evaluated

Section 1: Statewide Core Competencies	25%	
Section 2: Individual Goals/Competencies	60%	
Section 3: Job Responsibilities	<u>15%</u>	
	Total	100%

Example #2: Sections 1-2 are evaluated

Section 1: Statewide Core Competencies	30%	
Section 2: Individual Goals/Competencies	70%	
Section 3: Job Responsibilities	<u>Not rated</u>	
	Total	100%



Overview of Behavioral Competencies

READ PPT: Overview of Behavioral Competencies

REFER TO GUIDE: Behavioral competencies contribute to successful performance...

SAY: In the middle of your left page you see that behavioral competencies contribute to successful performance management in many ways.

SAY: Take a moment to read the 6 bullets that highlight the reasons why competencies improve performance at the organizational and individual levels.

Trainers Note: Allow 30 seconds for participants to read the 6 bullets.

ASK: How many of you have experience in managing performance with competencies? (Responses will vary).

Trainer Option: Based on the number of participants that have experience in managing performance using behavioral competencies, ASK for volunteers to share their experiences with their table groups OR the entire group.

SAY: To meet the State of Georgia performance goals for 2009-2010, State and Agency leaders have identified several key competencies required of every employee and manager in 2009-2010.

SAY: The next slide illustrates the type of competencies required by every employee and manager in the State of Georgia.

TRANSITION

Section 1: Statewide Core Competencies

READ PPT: Statewide Competencies

SAY: Core competencies are examples of behavioral competencies that are required of all State employees. There are 5 core competencies that every State employee is expected to perform (regardless of position or job).

SAY: There are 2 leadership competencies that every manager with an employee that directly reports to their position is expected to perform.

REFER TO GUIDE: Section 1 – Statewide Core Competencies

SAY: The weights are pre-populated in the performance plan.

SAY: On your left page you see that the Statewide Core Competencies are preloaded into Section 1 and cannot be deleted. The Leadership Competencies are prepopulated in Section 1 for most managerial positions. However, for some jobs, they may not automatically prepopulate. If they do not automatically prepopulate, then the manager should add them into Section 2 of the plan.

SAY: The minimum weighting that can be assigned to Section 1 is 25% (**Trainer Note:** Reinforce).

ASK: Does anyone remember the weighting that an Agency can determine for Statewide Competencies? (Answer is 25% to 100%).

SAY: State of Georgia will be the “Best Managed State” when ALL of its employees are successful in performing the core and leadership competencies.

ASK: What questions do you have at this time? (Responses will vary).

SAY: Our next slide introduces Section 2 of the performance plan by providing an overview of performance goals.

TRANSITION



Performance Planning Section 1 – Statewide Core Competencies

Core Competencies (all employees)	Leadership Competencies (managers with direct reports)
<p>Customer Service</p> <p>Teamwork and Cooperation</p> <p>Results Orientation</p> <p>Accountability</p> <p>Judgment and Decision Making</p>	<p>Talent Management</p> <p>Transformers of Government</p>



Overview of Goals

READ PPT: Overview of Goals

SAY: I would like to hear your experiences on establishing goals.

ASK: How can you determine the result of the behavior being measured? (Responses will vary. Anticipated responses include clearly defining what the result looks like, providing examples of best practices, modeling successful performance, refer to standard operating procedures).

ASK: What is measurement criteria? (Responses will vary. Anticipated responses include: Quantity, Quality, Cost and Timeliness).

ASK: How can you determine the level of performance being described? (Responses will vary. Anticipated responses include performance improvement, maintained, corrected or stretched. Goals are written at successful performer levels).

SAY: Section 2 of the performance plan provides the employee and manager with an opportunity to establish measurable goals that are mutually rewarding for both parties.

ASK: How can goals be mutually rewarding for the employee and the manager? (Responses will vary. Anticipated response is that the manager's individual goals are normally the department's goals. When the employee's performance is linked to the department, the manager's performance is a result of the employee's performance. Employee's value the ability to contribute to the 'big picture' and manager's value successful performance results that link to Agency performance...hence their manager's performance).

ASK: What questions do you have at this point? (Responses will vary)

SAY: The next slide provides an understanding of how the employee and manager benefit in establishing measurable goals.

TRANSITION



Performance Planning Overview of Goals

Goals are measurable outcomes or results that identify:

- The result of the behavior being measured
- The measurement criteria
- The level of performance being described



Section 2: Individual Goals/Competencies

READ PPT: Section 2: Individual Goals/Competencies

SAY: An effective cascading process allows departments to create mid-year and/or annual goals that are linked to the strategic plan. As mentioned in the previous slide, these goals identify the desired results to be achieved, the measurement criteria for the desired results and the level of desired performance to be achieved.

SAY: Cascading goals are aligned with the vision, mission, and goals of the State and Agency. As you can see on the left side of the slide, the planning phase identifies how goals “cascade” from the State level to the individual employee level.

SAY: When the manager is able to clearly identify how their individual goals at the department level link to the Agency and State, they in turn, can establish individual goals with the employee that link the performance of each employee to their goal.

ASK: Does someone have experience in cascading goals that they would like to share? (Responses will vary).

SAY: Let's move to our next slide that provides an example of a strategic goal that all agencies and employees impact on a daily basis. This goal will set the stage for a series of training exercises that will illustrate how to cascade and align goals from the State level to the individuals within each agency.

TRANSITION

Example of a State Goal

SAY: I am sure that everyone can recite the Governor's Customer Service Goal by memory – right?

READ PPT: Example of a State Goal

SAY: We will use this example of a State goal for the remainder of this module to demonstrate how to develop cascading goals and write individual goals.

SAY: Take a moment to read the Customer Service Competency Definition on the left page in your guide.

SAY: As many of you know, this goal continues to be an initiative that is driven throughout the State. Many of the State's strategic goals are established at this level so that they can be 'customized' to fit the respective business units and agencies of the state.

SAY: For example, Agency A's contribution to this goal will be different than Agency B's contribution to this goal. Hence, it is critical that each Agency, department, work group and individual clearly identify how their respective role and performance link to the state's goal.

ASK: What questions do you have at this time? (Responses will vary)

SAY: I am confident that some of you know how to develop cascaded goals at the Agency level. The next slide will provide an opportunity for everyone to know how to align and develop cascading goals.

TRANSITION



Performance Planning Example of a State Goal

Governor's Customer Service Goal

"Georgia will have the best customer service of any state in the nation."

FASTER. FRIENDLIER. EASIER.





Section 2: Developing Aligned/Cascading Goals

READ PPT: Section 2: Developing Aligned /Cascading Goals

SAY: As you can see, this is a simple approach to aligning goals for optimum performance. Your table group will use this 4 step approach through a series of exercises to practice on how to develop aligned and cascaded goals. Let's review the 4 steps:

Step 1: Identify Aligned Goals

SAY: Using the Customer Service Competency Definition and State Goal, you will work in your table groups to identify 2 levels of aligned goals as they cascade from the State to the Agency and from the Agency to the Department. We will begin the cascading exercise shortly.

Step 2: Identify Desired Job Results

SAY: Using the 5-Point Rating Scale and the Customer Service 'Successful Performer' Competencies, your table groups will identify the desired job results by reviewing the key skills, knowledge and behaviors required for successful performance. We will review the successful performer competencies during this part of the exercise.

Step 3: Measure Success

SAY: Using the SMART goal format, your table groups will create and write measurable goals that clearly identify how successful performance in customer service will be accomplished and what results are to be accomplished. You will successfully demonstrate your ability to create measurable goals and responsibilities towards the end of the exercise.

ASK: How many of you know what the SMART acronym means? Answer: Specific, Measurable, Achievable, Relevant and Time-Bound.

Step 4: Monitor Progress

SAY: Using a template for an Individual Development Plan (also known as an IDP), your table groups will create an IDP that is used throughout the performance review period to establish and review performance goals, tasks and activities. You may recall that it is Section 4 in the performance plan and is used throughout the mid-year and/or annual performance review process. You will use the template to complete the exercise.

ASK: We will review instructions for each step as we proceed. For now, what questions do you have regarding the series of exercises that you and your table group will participate in to demonstrate your ability to develop aligned and cascaded goals? (Responses will vary).

Trainer Note: Recommend Break at this point prior to the Performance Planning Exercises



Performance Planning
Section 2: Developing Aligned/Cascading Goals

- Step 1: Identify Aligned Goals**
- Step 2: Identify Desired Job Results**
- Step 3: Measure Success**
- Step 4: Monitor Progress**

All goals are written and measured at the “successful performer” level.



Trainer Note: Provide each group with 4 pieces of easel pad paper, markers and masking tape.

REFER TO EXERCISE for STEP 1: Identify Aligned Goals

SAY: Let's begin the series of exercises with the 1st step of the process. Using the Customer Service Competency Definition and State Goal, you will work with your table members to identify 2 levels of aligned goals as they cascade from the State to the Agency and from the Agency to the Department. Agency and Department goals may or may not include measurable indicators established in the goals.

SAY: The goal of the exercise is to ensure that there is a direct link to employee performance. The 1st step is to create the 1st goal (Agency level) by reviewing the State level goal and looking for natural linkages to the employee's overall job. Desired results at the Agency level are discussed and determined within the goal.

SAY: You will repeat this process to create the 2nd goal (Department level) where your team will review the Agency level goal just created and look for linkages to the employee's overall job. Desired results at the Department level are discussed and determined within the goal.

SAY: Take 15 minutes to create 2 levels of goals. The 1st goal is the Agency goal and the 2nd goal is the Department goal. Once you have determined your goals, you will write your Agency and Department goals on a piece of easel pad paper.

ASK: What questions do you have regarding the exercise? (Responses will vary. Ensure participants understand exercise. Clarify questions accordingly).

Trainer Note: Allow participants 15 minutes to complete the exercise. Observe table group discussions and be available to answer questions if needed. Ask table groups to post their easel paper on a wall with tape provided.

EXERCISE DEBRIEF for STEP 1: Identify Aligned Goals

SAY: Choose a spokesperson that will review your Agency and Department goals.

Trainer Note: Allow spokesperson to share the exercise outcomes. (Responses will vary).

ASK: In the spirit of peer recognition, I would like for you to be objective in your responses and choose the Agency and Department goals that will be used in the next step of the exercise.

Trainer Note: Allow participants to select the group with the most effective example of cascaded goals. This goal will be used in Step 2: Identify Desired Job Results.

ASK: Was that an easy or hard task? (Responses will vary. Goal is to have manager understand their role in aligning goals from the State to the employee levels).

ASK: What questions do you have at this time regarding how to develop aligned goals that cascade throughout the organization? (Responses will vary)

TRANSITION



Performance Planning
Section 2: Developing Aligned/Cascading Goals

- Step 1: Identify Aligned Goals**
- Step 2: Identify Desired Job Results**
- Step 3: Measure Success**
- Step 4: Monitor Progress**

All goals are written and measured at the “successful performer” level.



REFER TO EXERCISE for STEP 2: Desired Job Results

SAY: Let's continue the exercises with the 2nd step of the process...Identifying Desired Job Results.

ASK: How do you currently identify the desired job results for an employee? (Responses will vary. Most responses will indicate a vague approach to identifying desired results. Also, desired results change as State and Agency goals change).

SAY: Identifying the desired job results has become easier. Now, there are 2 tools used to clearly identify desired job results.

SAY: The first tool is the 5-Point Rating Scale mentioned earlier that provides an understanding of the level of performance required to reach desired job results.

SAY: The second tool is the list of competencies within the levels of performance that identify the specific skills, knowledge and behaviors required to meet the desired job results.

SAY: Let's take a quick look at the 5-Point Rating Scale.

TRANSITION



Performance Planning
Section 2: Developing Aligned/Cascading Goals

- Step 1: Identify Aligned Goals**
- Step 2: Identify Desired Job Results**
- Step 3: Measure Success**
- Step 4: Monitor Progress**

All goals are written and measured at the “successful performer” level.



Section 2: 5-Point Rating Scale

REFER TO PPT: 5-Point Rating Scale

READ SUCCESSFUL PERFORMER DESCRIPTION (shaded area)

SAY: As you see, there are 5 levels of performance that help the manager determine the desired level of results. This was established to allow the manager more options to objectively plan, observe, measure and evaluate employee performance results. Understanding that all goals are established at the 'successful performer' level, managers are able to objectively measure the results of the performance against one standard.

SAY: Remember, all goals are written at the 'successful performer' level. Therefore, standards of performance have been established at the 'successful performer' level. When an employee exceeds 'successful performer' level, they are evaluated, measured and rated at a level 4: Successful Performer – Plus or level 5: Exceptional Performer.

SAY: The converse is true as well. When an employee does not meet 'successful performer' level, they are evaluated, measured and rated at a level 2: Successful Performer – Minus or level 1: Unsatisfactory Performer.

SAY: As you can see, the contributions of a 'successful performer' are visible and measurable at the department, Agency and State levels.

SAY: Understanding that your role is to plan, coach, develop, evaluate, and recognize 'successful performance', it may help to spend a little time practicing how to identify 'successful performer' desired job results...using the Customer Service competencies.

REFER TO APPENDIX A: Successful Performer in Customer Service

SAY: The handout found in Appendix A provides the performance expectations (i.e. behavioral competencies) that are required to be a successful performer.

SAY: The next slide allows us to take a closer look at the competencies for the Successful Performer in Customer Service.

TRANSITION

