Performance Management Systems in Non-Profit Organizations

Bonnie Bates-Vulcheff
St. John Fisher College
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This paper explores the process used and the outcomes of the research and analysis of the current performance management system in the YWCA of Rochester, New York. The paper also explores the analysis and redesign of the YWCA's performance appraisal system, in partnership with the YWCA Personnel Committee. A review of current literature explores the components of performance management systems, with a particular focus on how the individual components are integrated. In addition, specific literature focused on job descriptions, job performance standards, supervision and coaching, and performance appraisal and performance appraisal systems are reviewed. The methodology used to appraise the YWCA performance management system consists of a comprehensive needs assessment incorporating six data collection techniques, content analysis, and descriptive statistical analysis. The project results in three deliverables: 1. the revision of the performance appraisal instruments, 2. the design of a Performance Continuum Model© (PCM©), 3. and the development and delivery of a training session for supervisors. Recommendations for revising and updating the YWCA Performance Management System are made.

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This paper explores the process used and the outcomes of the research and analysis of the current performance management system in the YWCA of Rochester, New York. The paper also explores the analysis and redesign of the YWCA's performance appraisal system, in partnership with the YWCA Personnel Committee. A review of current literature explores the components of performance management systems, with a particular focus on how the individual components are integrated. In addition, specific literature focused on job descriptions, job performance standards, supervision and coaching, and performance appraisal and performance appraisal systems are reviewed. The methodology used to appraise the YWCA performance management system consists of a comprehensive needs assessment incorporating six data collection techniques, content analysis, and descriptive statistical analysis. The project results in three deliverables:

1. the revision of the performance appraisal instruments,
2. the design of a Performance Continuum Model© (PCM©),
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Recommendations for revising and updating the YWCA Performance Management System are made.
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Chapter One: Introduction

This project explores the analysis of the performance management systems and the redesign of the performance appraisal system of the YWCA of Rochester, New York. The project was completed during 1999-2000 year in cooperation with the YWCA Personnel Committee. The construct of the project required the completion of a comprehensive needs assessment of the YWCA. The introduction to the project and background information is provided in Chapter One.

In addition, a comprehensive literature review was completed. The literature review, outlined in Chapter Two, focuses on performance management systems, job descriptions, job performance standards, supervision and coaching for performance, performance appraisal systems, performance appraisal instruments and pay-for-performance processes. The literature review was used as a foundation for the research methodology.

Chapter Three describes and defines the research methodology used, provides a model of the YWCA Need Assessment Process, and explains the construct of the study. Components of the needs assessment included: interviews with key staff, a review of extant data, a focus group with the YWCA Personnel Committee, a benchmark study, an organization analysis, a supervisors’ training needs assessment, and a focus group conducted with the YWCA supervisors. The research methods provided the project manager with extensive data.

The data gathered from the six data collection methods provided extensive data for review and analysis. Chapter Four explores the results of the research. Interview and focus group
findings are explained. The results of the extant data review are provided. Benchmark study findings are provided. An organization analysis of the YWCA performance management system provided the basis for the development of the Performance Continuum Model©. The results of the Supervisors’ Training Needs Assessment are presented. The final research step was the completion of a focus group with the eighteen YWCA supervisors. These data provide the information required to complete product development. Three deliverables were prepared as a result of this project: the new performance appraisal instruments for the YWCA, the Performance Continuum Model©, and the design and delivery of supervisory training.

Background

In the late fall of 1997, the YWCA conducted an employee survey in which they asked employees to comment on areas of concern regarding the management of the organization. In January 1998, after the compilation of the survey, key concerns were identified. One key concern of the employees was the organization’s performance management and appraisal system. As a result, the organization formed a four-member YWCA Personnel Committee, whose charge was to revise the performance appraisal forms. As the committee began its work, they noted that the performance management system required revision. The work of the internal YWCA Personnel Committee stalled during 1998 and in the summer of 1999. The Assistant Executive Director who proposed the analysis and revision of the performance management system as a graduate project approached this project manager. The YWCA agreed to the project and the implementation of recommendations designed to improve both their performance appraisal process and performance management system.
Purpose of the Project

The purpose of this project was to research and analyze the current performance management system in the YWCA of Rochester, New York. Subsequent to the analysis, the data was used to redesign a performance appraisal system for the YWCA in Rochester, New York. Additionally, the components of the YWCA Performance Management System were defined and documented. A Performance Continuum Model that defined performance expectations, coaching, appraisal, performance improvement, and recognition processes was developed.

For the purposes of this paper, the student researcher is referred to as the project manager.

The analysis of the current YWCA performance management system required a strong theoretical foundation from the current literature. A review of literature focused on performance management, performance management systems, job descriptions, job performance standards, supervision and coaching, and performance appraisal and performance appraisal systems were reviewed.
Chapter Two: Literature Review

The purpose of this project is to examine the current performance management system and to redesign a performance appraisal system for the YWCA in Rochester, New York. The assessment of a performance management system and redesign of both the performance appraisal process and the performance management system requires a strong theoretical framework. Additionally, the design of a Performance Continuum Model (PCM), which defines performance expectations, coaching, appraisal, performance improvement, and recognition, processes required research into the existent models. Relevant literature provides a general theoretical basis for the analysis of the YWCA systems and the development of the PCM.

To provide a theoretical framework, this literature review provides a four-part discussion. First, an exploration of the components of performance management systems is offered. This exploration defines performance management systems based on the literature. The specific components are discussed. The differences between performance management systems in non-profit and profit-making organizations are explored. Also, the link between organizational and individual performance is introduced.

Second, specific literature focusing on job descriptions and job performance standards is reviewed. The differences and connection between job descriptions and job performance standards are reviewed in this section.

Third, supervision and coaching for performance are explored. This section of the literature review is fairly comprehensive. The fundamental concepts of supervision and coaching are explored. Situational leadership is explained, as are the tenets of the “One-Minute
Management" theory. Management by Objective is defined within this section of the literature review. Coaching is defined and analyzed from the perspective of Fourmies (1988, 1999) and Rothwell, Sullivan, & McLean (1995). Also, in this section, Cohen's (1998) performance paradox is explained. At the conclusion of the discussion on supervision and coaching, formal performance appraisal methods are explored.

Fourth, performance appraisal instruments, performance appraisal systems, and pay for performance systems are presented. In this section, performance appraisal systems are explored. Ineffective performance appraisal systems and their consequences are discussed. Performance appraisal instrument development is then reviewed. Methods of determining instrument effectiveness are shared. The concept of pay-for-performance is presented. Then a variety of pay-for-performance systems and pay structures are explored.

The additional performance management system components were not reviewed, as they are not within the scope of this project.

Performance Management Systems

Performance management systems can be defined as integrated processes that involve goal setting, performance appraisal, and reward and recognition (Cummings & Worley, 1993). Rothwell, Sullivan and McLean (1995) include in their definition of performance management systems, a focus on selecting, training and developing people, and performance measurements systems, as components of a performance management system. Additionally, matching individuals with the correct job position and dealing with specific workers and specific incidents on a daily basis are important to the functional performance management system (Sibson, 1994). The key to
Performance management is the concept of a system. A system is defined as an integrated, open interaction between all component parts of an organization. Current literature (Rothwell, Sullivan & McLean, 1995; Worley & Cummings, 1993; Drucker, 1990; Fournies, 1987) suggests that performance management systems then include six components:

1. the recruiting and selection of employees,
2. the job descriptions which describe the job function and responsibilities of the individuals,
3. the orientation and training of the individual so that performance expectations are clear,
4. the ongoing and regular supervision, coaching and feedback given to the individuals by the supervisors which further clarifies the performance expectations,
5. performance appraisal processes which allow the individual employees to comment on their performance and provide the supervisors with a mechanism to compare and contrast expectations with actual performance,
6. and reward and recognition processes that provide the individual employees with remuneration and/or incentive for improving poor or continuing good performance.

The challenge presented to organizations is to create planned systems that impact performance. A model for performance management integrates business strategy, which defines goals and objectives, workplace technology, which affects whether performance management systems are based on individual staff or work groups, and performance appraisal processes, which evaluate and impact either individual or group work performance (Worley & Cummings, 1995).
This model excludes the job description and definition process, the recruitment and selection process, the orientation and training process, and the supervision and coaching process clearly important to performance management (Rothwell, Sullivan & McLean, 1995; Drucker, 1990; Fournies, 1987; Sibson, 1994). Although most of the current literature does not specify a difference between performance management systems in profit and non-profit organizations, Drucker (1990) addresses this difference by distinguishing the structural differences and the varied focuses of non-profits.

Drucker (1990) indicates that non-profit organizations are different from profit-making organizations in that they have many constituencies. Profit-making organizations focus on their customers and their customers' satisfaction. Non-profit organizations' constituencies include customers, boards of directors, funders, taxpayers, the family members of customers, community leadership, etc. This focus on multiple constituencies can lead the non-profit organization to focus on the constituencies and the hierarchy used to provide service to the various constituencies and not on true performance issues (Drucker, 1990). The key, then, in creating a performance management system in a non-profit organization is to ensure that performance, both individual employee and organization, has been clearly defined. Only then can performance management systems reflect the organization's objectives and align individual performance with organizational performance (Drucker, 1990).

Non-profit organizations like for-profit organizations need to determine their key indicators of performance. While the constituencies of non-profit organizations are many, the literature suggests that non-profits determine ten to twelve key indicators of performance and
base their performance management systems on those criteria (Taylor, Chait, & Holland, 1996). The criteria may include the number of clients or customers they serve, program performance, increases in funding, increases in participation, increases in community visibility and increases in community partnerships. Whatever, the indicators of performance, there needs to be alignment between the organization's mission and goals, and the performance expectations of the organization's staff (Drucker, 1990). This alignment provides the basis of the non-profit organization's performance management system.

For purposes of this review, performance management system components including the creation of job descriptions, the definition of job standards, the role of supervision and coaching for performance and performance appraisal systems were explored (Rothwell, Sullivan, & McLean, 1995; Drucker, 1990). Here, the literature supports the need for well-developed job descriptions as a basis for performance (Fournies, 1999). As the next step, performance standards can then be developed. These standards guide the employee toward acceptable, or even excellent, levels of performance (Fournies, 1987). Once performance standards have been developed, effective management supervision and coaching is needed to ensure employees understand the standards, have the resources to perform, and can be evaluated as to their progress (Fournies, 1987). Performance can then be appraised, using instruments related to the job standards and the job description. Due to the relationship between these four components, an exploration of current literature related to each was completed.

Three performance management system components are explored in this literature review:

1. job descriptions and job performance standards,
2. supervision, coaching and performance,
3. and performance appraisal instruments and systems.

Job Descriptions and Job Performance Standards

Job descriptions and job performance standards define, for the organization and the individual employee, the scope of the work to be accomplished, the results expected and the level of performance required for satisfactory completion of the work. Job descriptions and job performance standards are closely related. One defines the job to be done and the other defines the acceptable quality of the work that is being completed.

Job descriptions. Job descriptions, in order to be an effective component of a performance management system, need to be detailed enough to clearly describe the essential job functions and specific qualifications required for the position. Job descriptions provide the supervisor and the job candidate or employee a basis for discussion about the "fit" between the job and the candidate/employee. "Knowledgeable teachers of management have said for years, 'If you want to increase productivity, start with a good job description.' Unfortunately, most job descriptions are written for the purpose of deciding what the job is worth rather than helping people know what they should do in that job. Responsibilities are generally described rather than job behaviors" (Fournies, 1999).

Job performance standards. Job performance standards define how the individual's performance assists the organization in meeting its organizational performance goals. Corporate boards often examine a limited number of performance criteria, usually ten to twelve indicators. These organizational performance indicators should be incorporated into job performance
standards, as the objectives relate to the job responsibilities defined in the job description (Taylor, Chait, & Holland, 1996). Several pertinent questions assist in the definition of job performance standards. Each standard should relate to a specific job task. First, ask, "What is the task to be accomplished?" Second, ask, "How should the job be performed?" Third, define, "What would excellent or the best possible performance look like?" Fourth, define, "What does minimally acceptable performance look like?" These questions will assist in the development of job performance standards.

Supervision and Coaching for Performance

Supervision and coaching for job performance are key components of a performance management system. Modern concepts of supervision have their roots in the work of Frederick Winslow Taylor in the 1880s. The 1880s brought increasing conflicts between business owners and workers. Employers faced inefficiencies, careless safety, and declines in production, in spite of the supervision that was being offered to workers. There was the sense that workers were lazy, uncooperative or dumb. Incentive programs were begun, but the results did not improve.

Taylor theorized that incentives would not work unless they were partnered with work tasks that were efficient, carefully planned, and easily learned by the workers. He theorized that management existed to assist and support the workers. Taylor’s approach was to have experienced engineers identify the specific tasks and determine who had the best skills to do them. Taylor’s approach made both management and the workers responsible for the workers’ output (Weisbord, 1987).

Especially for new supervisors, this transition from being responsible for only one’s
individual work to being responsible for the work of others can be difficult. Supervisors need to know not only what must be done, but also the standard for performance and the accomplishment of what must be done. Supervisors are responsible for three basic things: knowing what needs to be done, knowing who will do it, and knowing how it will be done (Josefowitz, 1985). Additionally, to obtain desired levels of performance, organizations must have well-defined accountability systems. When employees and managers are asked what the work of the employees is, the answers must be the same. Otherwise, managers are expecting a result that the employees do not know is their responsibility (Hersey & Blanchard, 1988). There is a broad diversity of skills, talents, and abilities within the workforce of any given organization. How then does a supervisor work with the variety of workers that are employed in an organization to attain the organizational expectations?

Situational leadership. Situational leadership has come to be known as the basis for effective interaction with a variety of workers, all at different stages of work readiness and all with different assignments and work responsibilities. Situational leadership has its foundation in both behavior modification and reinforcement theory. While situational leadership concepts are clearly founded in these theories they are not widely used because the terminology is not acceptable to managers and the theories are associated with research utilizing animals and a concept of controlled manipulation.

Spencer Johnson and Kenneth Blanchard strive to overcome these difficulties in their work, The One-Minute Manager. They use behavior modification concepts and techniques in their descriptions of “One-Minute Goal Setting,” “One-Minute Praisings,” and “One-Minute
Reprimands” (Blanchard & Johnson, 1982). These three practical implementations of the theoretical concepts become the basis for situational leadership. “One-Minute Goal Setting” focuses on areas of accountability and performance standards. “One-Minute Praisings” focus on feedback for good performance. “One-Minute Reprimands” focus on how to correct performance that does not meet expectations.

**One-Minute Goal Setting.** While fairly simple to describe, “One-Minute Goal Setting” is a powerful tool in the supervision process. Hersey and Blanchard (1988) identify seven key questions used for “One-Minute Goal Setting” with employees:

1. What is the person’s job?
2. Which goals are most important?
3. How will you know the person is doing the job well?
4. What does outstanding performance look like?
5. What will the person gain by doing a good job?
6. What steps will the person take to accomplish the goals?
7. What happens if the goal is accomplished?

These questions will help the supervisor articulate what the performance accountabilities and expectations are, as well as the reward and incentive system for recognizing performance. When performance begins to approximate the standard, Blanchard and Johnson (1982) accent the importance of “One-Minute Praisings.”

**One-Minute Praising.** A “One-Minute Praising” is an opportunity to offer positive feedback to the employee. Blanchard and Johnson claim that “One-Minute Praising” is the most
powerful management tool available. Its focus is on recognizing the employee as they move toward the attainment of the goal. It is a motivation tool. There are four key points about "One-Minute Praising" (Blanchard & Johnson, 1982):

1. Be immediate and specific. This point involves a manager being aware of the work of their employees and responding supportively when the employees are moving toward the accomplishment of the goals.

2. State your feelings. Managers are cautioned not to be too intellectual but to speak from their feelings.

3. Don't wait for perfect performance. Praise employees as they get it approximately right. This keeps people motivated and moving in the direction of goal attainment.

4. Take time for praisings. Two hours a week are recommended. Managers are encouraged to schedule the time on their calendars.

Management by objective. This theory of making time for managers to praise employees was described by Peters and Waterman, Jr. (1982) in their book, In Search of Excellence, in which they described the Hewlett-Packard practice of "Management by Wandering Around" (MBWO). MBWO involved managers wandering around the workplace, finding workers doing the right thing and praising them for it. Unfortunately, when wandering around managers can also identify employees doing the wrong thing. Blanchard and Johnson (1982) indicate that this is the time for a "One-Minute Reprimand."

One-Minute Reprimand. "One-Minute Reprimands" are opportunities to provide corrective discipline or guidance to employees. Blanchard and Johnson (1982) provide four
guidelines for effective implementation:

1. Be timely or reprimand as soon as possible after an incident.
2. Be specific or describe exactly what was done wrong.
3. Share your feelings and don’t over-intellectualize.
4. Reprimand the behavior and not the individual. They actually accent a need to reaffirm the person and your belief that they can do a good job.

Coaching. Effective supervision has also been described as coaching. Fournies (1988) theorizes that to be an effective manager one needs to understand three important facts:

1. Management is getting things done through others.
2. You need your subordinates more than they need you.
3. You get paid for what your subordinates do, not for what you do.

Fournies (1988) describes an effective manager in this way and also relates that managers are often trained in what to do but not how to do it. Fournies (1988) accents the fact, as Taylor had, that managers are resources and support for their subordinates or workers. In fact, Fournies (1988) is emphatic in his statement, documenting this emphasis through the phrase “the obvious conclusion is that the only reason for you to be there as a manager is TO DO EVERYTHING POSSIBLE IN YOUR POWER TO HELP THEM BE AS SUCCESSFUL AS POSSIBLE. YOU SUCCEED ONLY WHEN THEY SUCCEED” (Fournies, 1988, p. 12). The author’s work, Coaching for Improved Work Performance, clearly describes the coaching process. He indicates that there is a need for coaching analysis prior to the discussion with the employee. Coaching for improvement usually focuses on improved results. Fournies (1988) utilizes a formula to describe
the elements that influence performance results.

\[ A \frac{(P + T)M}{E} = R \]

where ‘R’ is defined as the results or those things that occur because of performance. ‘A’ represents the abilities one is expected to have at the time of hiring. ‘P’ stands for performance or the things an employee is expected to do. ‘T’ indicates training or telling, the process of orientation, formal training, or informal discussions about how to perform the tasks. ‘M’ stands for motivation” (Fournies, 1988, p.88). Fournies’ (1988) theories of motivation link closely with those of Blanchard and Johnson (1982). Here he asserts that “people do what they do because of the consequences of what they do” (Fournies, 1988, p. 90).

Fournies (1988) describes eight steps to be used in coaching analysis:

1. Identify the unsatisfactory performance.
2. Determine if the situation is worth your time. (Is it an isolated incident or habitual issue?)
3. Determine if the employee knows their performance is not meeting expectations.
4. Determine if the employee knows what the performance expectation is.
5. Determine if there are obstacles, beyond the control of the employees, which are impacting the performance.
6. Determine if the employees know how to do the tasks to achieve performance.
7. Determine if there is a negative consequence to attaining performance or a positive consequence to non-performance.
8. Determine if the employee could attain the performance standard if they wanted to.
Fournies (1988) further describes the face-to-face coaching session or discussion. He delineates the importance of getting the employee to agree that a problem exists. The author views this single step as the most important in the coaching process. Fournies (1988) describes four steps involved in the coaching session:

1. mutually discussing possible alternative solutions,
2. mutually agreeing on the actions to take which will help solve the problem,
3. following up to ensure that the agreed upon solutions are implemented, and
4. recognizing any achievement.

Although Fournies (1988) wrote his original work in the 1970s and 1980s, he demonstrates his adherence to his theories in the second edition of his book, *Why employees don't do what they are supposed to do and what to do about it*, published in 1999. In this text, the author contends there are two general reasons for non-performance:

1. "The manager did something wrong to or for the employees or
2. The manager failed to do something right to or for the employees (Fournies, 1999, p. xvi).

This sense of the coaching and supervision responsibility, and the subsequent responsibility for performance, resting with the supervisor or manager has been the basis for much of the coaching theory written since the late 1980s.

The definition of coaching is “the assistance that managers provide to their employees by analyzing and guiding on-the-job performance” in a “non-threatening climate in which employees can freely express to their managers the tensions, conflicts, concerns, and problems they are experiencing” (Rothwell, Sullivan, & McLean, 1995, p. 287). Coaching is designed to help employees understand their individual strengths and weaknesses and to understand fully what those strengths and weaknesses mean in the workplace. Rothwell, Sullivan and McLean (1995) express seven key responsibilities of coaching:

1. to increase employees' individual and group effectiveness by providing feedback. The focus is on personal and interpersonal relationships and the competence the employees have in this regard.
2. to review progress toward the accomplishment of the organization’s objectives
3. to identify problems which are impacting the accomplishment of the organization’s objectives
4. to identify alternative solutions or actions and to develop action plans for dealing with problems
5. to help employees strive for improvement, setting additional goals for themselves and the organization
6. to determine the kinds of support which employees need as they implement their work and the action plans designed to solve problems
7. to assist employees in identifying and realizing their individual and collective potential.

These coaching steps, in order to be effectively implemented, require managers to have effective
listening skills; the ability to ask critical, clarifying and empathic questions; the ability to respond in a useful manner; the ability to focus on empowering the employees; and a willingness to nurture and help the employee become more successful. Rothwell, Sullivan and McLean (1995) find that coaching is a sequential process. They define the sequence with three steps:

1. building rapport, which involves attending to, listening to and accepting what the employee has to say,

2. exploring, which involves investigating, identifying the problems and diagnosing the source of the problem, and

3. action planning, which involves searching out possible solutions, decision-making to identify the best solution, and supporting the implementation of the solution.

Coaching or supervising, therefore, assists the employee in identifying performance expectations and problems associated with the implementation of their work, and provides for a close interaction with the manager or supervisor to ensure that the expectations are met.

Performance paradox. However, there is a performance paradox. Cohen (1998) indicates that most management teams know what they need to and should do to improve performance. Unfortunately, management chooses to ignore, avoid, delay or simply chooses to act contrary to what they know they should do. Cohen (1998) calls this the performance paradox. He identifies three reasons why managers do not act in the face of falling performance:

1. Tolerating low performance - a habit of settling for less than excellent performance
2. Failing to challenge the underling causes of poor performance - management may correct symptoms, but not address the key problem

3. Abdicating managerial accountability in favor of packages programs or solutions - choosing a change program, which may or may not reflect the trust issues or needs of the company (Cohen, 1998).

Additionally, Cohen (1998) defines six steps that serve as an antidote for the performance paradox. Diagnosing the organization to find out where there are opportunities to improve performance or where actual performance improvement currently exists is the first step. The second step is to use a forum of senior managers to explore and test the options for improved performance. The third step is to target measurable performance outcomes that can be readily achieved. Testing assumptions to see if the planned actions can positively impact performance is the fourth step. The fifth step is to start with the obvious solutions that are inside the organization instead of focusing on external solutions. The sixth and final step is to manage the risk and anxiety in trying new ways to improve performance. Cohen (1998) indicates that defining performance improvement and actually beginning to focus on it, is a key management function.

Coaching and supervision provide ongoing performance monitoring and feedback to employees. The more formal process of periodic performance monitoring and assessment is the performance appraisal.

Performance Appraisal and Performance Appraisal Systems

This section of the literature review focuses on performance appraisal systems, performance appraisal instruments and pay-for performance processes. Each of these three
components is explored in depth.

Performance appraisal systems. Performance appraisal systems provide a method for the manager to evaluate the performance of employees over time. While coaching is an immediate and ongoing process, performance appraisal is generally periodic. Yet, a formal performance appraisal meeting should hold no surprises for the employee. If effective performance planning and ongoing coaching and supervision have been present in the manager-employee relationship, both of the participants should see the performance appraisal process as a review of what has happened during the review period (Hersey & Blanchard, 1988).

Formal performance appraisal further describes how effective performance is defined in the organization and also, sends a clear message to the employee about the organizational values, the behaviors and contributions which are rewarded, and the standards of performance. Additionally, the formal performance appraisal is used to increase the compensation of employees.

Current research indicates that while more than 90 percent of all medium to large size companies have a formal performance appraisal system, there is a high level of dissatisfaction with the appraisal process (Longenecker & Fink, 1997). Often managers relate that their organizations' performance appraisal systems are ineffective. Longenecker and Fink (1997) contend there are ten serious consequences to ineffective performance appraisal systems:

1. demotivation of employees,
2. waste of time/harm to productivity,
3. damage to the manager-subordinate working relationship,
4. stifles employee development,
5. frustrate managers,
6. breeds criticism and negative attitudes,
7. creates inaccurate performance documentation,
8. damages the pay-for-performance linkage,
9. creates potential employee appeals or litigation, and
10. damages the credibility of the HR function within the organization” (Longenecker & Fink, 1997, p. 30).

Yet, in spite of the difficulties caused by ineffective performance management systems, organizations delay in redesigning the performance appraisal system. The two main reasons for the redesign are a new leadership regime taking over the organization or tensions and frustrations about the current system produce some form of organizational catastrophe (Longenecker & Fink, 1997).

**Performance appraisal instruments.** When performance appraisals of managers were studied, findings indicate that managers who perceived unfairness in their own most recent performance appraisals reacted more favorably to the implementation of a more fair or procedurally just system, than those who did not perceive unfairness (Taylor, Masterson, Renard, & Tracy, 1998). This study would tend to reinforce the Longenecker & Fink (1997) research, if in fact the managers felt that their own unjust performance appraisal was an organizational catastrophe.

Effective performance appraisals, however, are not the responsibility or outcome of the manager or supervisor. Research indicates that subordinates are “active agents who engage in
efforts to influence the process and the impressions and information" (Dulebohn & Ferris, 1999, p. 288) they share during the appraisal process. This study examined the effects of influence tactics on the performance evaluation process. When employees were able to voice both supervisor-focused and job-focused associations their performance appraisals were demonstrated to be more positive. When employees were not able to connect with supervisor-focused associations, their performance appraisals were demonstrated to be less just, even when the employees could voice job-influenced associations. In other words, when employees connect with their supervisor’s focus or ideas of good performance and the clear job expectations, their performance appraisals were demonstrated to be more positive. When employees are unable to connect with their supervisor’s focus or ideas, their performance appraisals were demonstrated to be less just or fair, even when performance expectations were met (Dulebohn & Ferris, 1999). This would indicate the employees can have influence on the performance appraisal process.

Given these findings, how then is a performance appraisal instrument designed to accurately measure performance? Michael O’Malley (1997) describes four common ways to assess the reliability and validity of performance evaluation measures:

1. **Test-Retest** - the process by which the same measurement is taken twice at two separate times and the results are correlated. If the instrument is accurate, the results should be substantially the same.

2. **Alternative Form** - the process of using several versions of the measurement instruments with equivalent content. Similar results with high correlation suggest a reliable instrument.
3. **Split Half** - the process of dividing an instrument in half and administering each half at two different times with a high correlation of the two halves indicating reliability.

4. **Internal Consistency** - the process of examining the intercorrelation among the test options.

O'Malley (1997) contends that improving the reliability of the measurement can result in more effective and accurate performance appraisal instruments, and therefore more accurate performance appraisal processes. He cautions however that while it is possible to make an instrument that measures accurately, it is difficult to determine which numbers are meaningful (O'Malley, 1997).

More than the accuracy of the instrument used to measure the performance, is the need to **link performance** to the organization's bottom line and to be sure that employees see the connection. Performance standards need to be a clear component of the performance management system. The performance standards need to be linked to overall business goals and organizational performance (Maillard, 1997). Managers and employees must be speaking the same organizational language as they view individual and organizational performance. If performance appraisal systems are clearly linked to organizational performance, employees are able to see the organizational "big picture" so key to the attainment of organizational objectives.

**Pay for performance.** This method of linking individual performance to organizational results has focussed some organizations on pay for performance and skill-based pay systems. Yet, there appears to be conflicting evidence to support the existence of organizational performance improvement based on either skill-based pay programs or pay-for-performance programs. Murray
and Gerhart (1998) found that "skill-based pay resulted in greater productivity (58%), lower labor cost per part (16%), and favorable quality outcomes (82% scrap reduction vis-à-vis the comparison facility)" (Murray & Gerhart, 1998, p. 68). Yet, a Luthan and Stajkovic (1999) study found that "you get what you reinforce, but not necessarily what you pay for" (Luthan & Stajkovic, 1999, p. 49). While their study indicated that pay-for-performance may have benefited performance, the mix of pay-for-performance and non-monetary reinforcers, such as feedback, a sense of value in the work, and recognitions, resulted in higher performance (17%) than monetary reinforcers alone.

If pay-for-performance is to be a continuing focus, and it appears that is increasingly so (Taylor, Trumble, & Flowers, 1996), human resource departments are going to be asked to assume responsibility for the effective, valid, and reliable design of performance appraisal instruments and systems. Therefore, the HR department needs to focus on both the training of managers and the creation of a supportive organizational climate, which may increase the effectiveness of the performance appraisal system.

With regard to the performance appraisals themselves, HR departments must work with managers to avoid their inflating the evaluations and any potential legal issues as a result of the performance appraisal process. The HR professional must also assist the manager in improving performance-rating criteria, their rating ability, the manager's confrontation skills, the manager's ability to conduct periodic assessments of performance, and improving interdepartmental communication. With regards to the supportive organizational climate, the HR professional must assist the organization in avoiding fostering the negative attitudes towards the performance
appraisal process. Additionally, the HR professional must help the organization to improve their performance rating systems the reward structures and the performance appraisal appeal process. These steps will lead to performance appraisal systems that add value to the organization (Tudor, et. al., 1996).

With specific regard to pay-for-performance systems, the HR role is also clearly defined. If the pay-for-performance system is to highlight the organizational mission, it must be a system which avoids making pay decisions before the performance appraisals are conducted. HR must improve managerial training with regards to using pay-for-performance plans effectively. Additionally, HR is responsible for monitoring and controlling the attainment of the organizational mission by avoiding the fostering of negative attitudes about the pay-for-performance plans. The HR professional must also survey periodically to assess the plan and examine the reward structures. In these ways the pay-for-performance system will link to the mission of the organization (Tudor, et. al., 1996).

Williams and Sunderland (1998) identify nine different approaches to pay systems:

1. Performance-based pay that is designed to reward employees for the attainment of individual or organizational objectives.

2. Performance-based pay in the form of bonuses or incentives, which vary, based on organizational performance.

3. Pay at risk, which converts a portion of formerly guaranteed pay to non-guaranteed awards based on performance.

4. Team incentives, which are awards, based on team performance.
5. Gain sharing and results sharing, which are rewards based on a portion of the organization's gains from the accomplishment of goals or objectives.

6. Broad banding, which is an approach that collapses the layers of the organization's traditional salary grades into a few wide bands.

7. Competency-based pay, in which individual competencies gained are rewarded by pay increases.

8. Skill-based pay that is based on the acquiring and application of specific skills.

9. Broad-based stock plans that provide stock to a broad portion of the organization.

Williams and Sunderland (1998) promote the concept of strategically designed pay plans that require extensive time, energy, and commitment to design and maintain. They cite a recent study of major Fortune 100 companies that indicates that those organizations with strategically designed pay plans performed better than their counterparts who used traditional pay systems, based on financial objectives including earnings per share, return on assets, profit per employee, and cash flow (Schuster & Zingheim, 1996). This study would indicate a need to involve the entire organization, managers and employees alike, in the design of the performance appraisal and reward systems (William & Sunderland, 1998).

**Conclusion.** In conclusion, it is clear from the literature, that performance management systems are complex. When successful, the individual components integrate with each other to form a cohesive and coordinated system. There are a variety of considerations for organizations as they examine their performance management systems. Only four components have been explored through this literature review:
1. Performance Management as a System
2. Job descriptions and job performance standards
3. Supervision and coaching for performance
4. Performance appraisal systems, performance appraisal instruments and pay-for-performance systems.

This literature review provides the foundation for the YWCA Needs Assessment Process and the revision of the YWCA Performance Management System. The next chapter describes the methodology followed to conduct this project.
Chapter Three: Methodology

This project focuses on the current performance management system and the redesign of a new performance appraisal system, based on an organizational needs assessment, for the YWCA of Rochester, New York. The project was undertaken in partnership with the YWCA Personnel Committee. This chapter provides information about the research methodology used in the completion of the YWCA needs assessment. Additionally, the data collection methods and analysis techniques are defined.

The YWCA Needs Assessment Process

The YWCA performance appraisal system review and assessment was completed using seven steps (See Figure 1):

1. an interview with key YWCA personnel,
2. a review of YWCA extant data,
3. focus group with the YWCA Personnel Committee,
4. a benchmark study,
5. an organization analysis,
6. a supervisors' training needs assessment,
7. and a focus group conducted with YWCA supervisors.

These data were compiled, analyzed and reported to the YWCA Board of Directors and the Executive Director. Recommendations, based on the assessment were then be made. Suggested revisions to the current YWCA performance appraisal system are a portion of the report. Revisions to the YWCA performance appraisal process include the defining of the performance
management process, utilizing a Performance Continuum Model; development of a new performance appraisal process, including new performance appraisal forms; and supervisory training focused on performance coaching and appraisal.

Figure 1: YWCA Needs Assessment Process
Conduct of the Study

The conduct of the study is described in Table 1: Conduct of the Performance Management System Study. Additionally, components of the needs assessment methodology used in the study are defined.

Table 1

**Conduct of the Performance Management System Study**

<table>
<thead>
<tr>
<th>Needs Assessment Component</th>
<th>Data Collection Technique</th>
<th>Data Analysis Method</th>
</tr>
</thead>
<tbody>
<tr>
<td>Interview with key personnel</td>
<td>Unstructured Interview(^\text{1}) (Footnote i.)</td>
<td>Concerns identified Needs Assessment Steps determined</td>
</tr>
<tr>
<td>Review of employee survey data</td>
<td>Extant Data Review(^\text{d})</td>
<td>Interview Validation Response Frequency</td>
</tr>
<tr>
<td>Review of current job standards</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Review of current performance appraisal instrument</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Focus Group One with YWCA Personnel Committee</td>
<td>Structured Interview(^\text{e}) Unstructured Interview</td>
<td>Concerns identified Progress Assessed Interview Validation</td>
</tr>
<tr>
<td>Review of non-profit organization performance appraisal instruments</td>
<td>Benchmark Study(^\text{v})</td>
<td>Performance Appraisal Component Analysis</td>
</tr>
<tr>
<td>Organization Analysis</td>
<td>Organizational Diagnosis(^\text{vii})</td>
<td>Weisbord Six-Box Model focused on performance management processes</td>
</tr>
<tr>
<td>Supervisor Training Needs Assessment</td>
<td>Survey(^\text{vi})</td>
<td>Response Frequency</td>
</tr>
<tr>
<td>Focus Group Two with YWCA supervisors</td>
<td>Unstructured interview(^\text{viii})</td>
<td>Review of instrument Validation of competencies</td>
</tr>
</tbody>
</table>


\(^{\text{ii.}}\) Ibid.


Six data collection techniques were employed. To ensure the techniques are clearly explained, definitions for the research methodologies are provided.
Data Collection

Data were collected using six techniques. In this section of the paper, the research methods will be defined.

Interviews. The first research method that will be defined. Interviews were used as the first, third and seventh steps of the YWCA Needs Assessment Process. Both structured and unstructured interviews were used. A structured interview is categorized as an information-gathering method. “Structured interviews contain a fixed number of prepared questions in a particular order” (Rothwell, W. J., Sullivan, R. & McLean, G. N., 1995, p. 149). Structured interviews are effective as they provide an opportunity to collection information on a predetermined number of issues and provide “a basis for comparing responses across respondents” (Rothwell, W. J., Sullivan, R. & McLean, G. N., 1995, p. 150). Occasionally, the structured interview limits the scope of the research. In those cases, unstructured interviews may be the preferred research method. A blend of structured and unstructured interviews, the second research method used in the completion of this project, may also be a beneficial method of gathering information.

Unstructured interviews. An unstructured interview consists of open-ended questions (Rothwell, W. J., Sullivan, R. & McLean, G. N., 1995). Open-ended questions provide an opportunity to expand the interview based on the responses to structured interview questions. This strategy is a key advantage. Additionally, unstructured interviews provide the opportunity to “probe areas of concern” (Rothwell, W. J., Sullivan, R. & McLean, G. N., 1995, p. 150). Interviews were only one method of gathering information during the completion of the YWCA
Needs Assessment Process.

**Extant data review.** This technique provides an unobtrusive method of gathering information. An extant data review is defined as the review and examination of existing data for assessment and feedback (Rothwell, W. J., Sullivan, R. & McLean, G. N., 1995). Extant data is readily available and is usually prepared by organizations in a format which facilitates analysis. A different form of data review is a benchmark study. The fourth research method defined will be a benchmark study.


**Organization diagnosis.** This project required a diagnosis of the YWCA performance management system. This diagnosis required a focused organizational diagnosis using the Weisbord Six-Box Model. The Six-Box Model includes a review of the structure, purposes, relationships, rewards, helpful mechanisms, and leadership of an organization (Weisbord, 1978). For the purpose of this project, the diagnosis process focused on the performance management
system only, rather than the entire organization. Weisbord (1978) defines diagnosis as “identifying the ‘gaps’ between ‘what is’ and ‘what ought to be’ as supported by data (Weisbord, 1978, p. 4). Diagnosis is not merely the review of data, but includes an interpretation of the data and conclusions based on the data. Often diagnosis includes research completed by surveys of employees, customers and other constituencies. Surveys were also used in the completion of this project.

Survey. The survey instrument used in this project was a training needs assessment. A self-administered questionnaire format was used. A survey is defined as “a system for collecting information to describe, compare or explain knowledge, attitudes, and behavior (Fink, 1995, p. 1). Additionally, “surveys are sufficiently flexible to be used in identifying training, education or development needs” (Rothwell, W.J. & Kazanas, H. C., 1994, p. 99). “HRD practitioners have to assess learning needs and talents according to precise learner characteristics. Separate needs assessments can be focused on different learner markets (Rothwell, W. J. & Kazanas, H. C., 1994, p. 89). In this project, the learner market was the supervisory staff of the YWCA, which form one work-group market. For this reason only one instrument was prepared.

The six data collection methods used for the YWCA Needs Assessment Process provided the project manager with the data necessary to assess the current performance management systems, analyze gaps, and revise the performance management system and performance appraisal instruments. The next section of the paper describes the specific uses of each methodology in completing the YWCA Needs Assessment Process.
Description of the Specific Uses of Data Collection Methods

Step one: The interview. The first step of the YWCA Needs Assessment Process, involved the project manager conducting an interview with the YWCA Associate Executive Director, Stephanie Benson. Benson requested an interview with the project manager to review the status of the YWCA Personnel Committee’s progress in addressing the agency’s problem with its performance appraisal process. The interview focused on six key questions:

1. What were the difficulties the YWCA was having with performance management?
2. What plan had been determined to address the difficulties?
3. Who had been assigned the tasks?
4. What progress had been made? What barriers to progress had been identified?
5. What role would the project manager play? With whom would the project manager work?
6. What responsibilities and authority would the project manager have?

The interview provided the project manager with basic organizational information and awareness that a YWCA employee survey had been completed. An unstructured interview was the research methodology used for this interview. While subject to bias, the unstructured interview provided the project manager with an opportunity to identify Benson’s concerns and determine the additional steps involved in the YWCA Needs Assessment Process.

Step two: The extant data review. As mentioned above, during the interview phase of the organizational needs assessment, the project manager was made aware of the YWCA employee survey. The second step of the YWCA Needs Assessment Process involved the review of data
compiled from the YWCA employee survey. Therefore, the second research methodology used was an extant data review which provided a quick and unobtrusive method for gathering information about employee perceptions of the YWCA performance appraisal processes (Rothwell, Sullivan, & McLean, 1995, p.152 – 153). Following this analysis, the project manager utilized the extant data review to examine the current YWCA job standards and performance appraisal instruments.

Step three: Focus group 1. The third step of the YWCA Needs Assessment Process was to conduct focus group sessions with the four-member YWCA Personnel Committee. The first several meetings with the YWCA Personnel Committee provided this opportunity to the project manager. Six structured interview questions were developed:

1. From the YWCA Personnel Committee’s perspective, what are the difficulties the YWCA is having with performance management?

2. Do you (the YWCA Personnel Committee) agree that these are the results, related to performance management, of the YWCA employee survey? (See the Appendix One for a handout of the results, as determined by the project manager’s extant data analysis, which was provided to the committee members.)

3. What plan has the YWCA Personnel Committee developed to address the difficulties?

4. What progress has the YWCA Personnel Committee made?

5. What barriers or difficulties are the YWCA Personnel Committee encountering in implementing your plan?
6. What could an external consultant, such as the project manager, do to assist the YWCA Personnel Committee in accomplishing improvements to the YWCA performance management system?

Utilizing both unstructured and structured questions, developed based on the interview in Step One, the project manager began collecting data about the progress that had been made by the committee over the past year. The mix of structured and unstructured questions was advantageous, as it provided the project manager with an opportunity to expand the questions based on the data gathered (Rothwell, Sullivan, & McLean, 1995).

Step four: A benchmark study. A benchmark study of non-profit organizations’ performance appraisal instruments was the fourth step of the YWCA Needs Assessment Process. The YWCA Personnel Committee had previously requested copies of performance appraisal instruments from a variety of non-profit organizations. The project manager conducted a benchmark study of seven performance appraisal instruments. Using the Action Planning Model, clear recommendations for improvements in the YWCA performance appraisal instrument were developed from this benchmark study (Rothwell, Sullivan, & McLean, 1995, p. 174–188). The recommendations were discussed with the YWCA Personnel Committee and the Associate Executive Director, who concurred with the use of a competency-based performance appraisal instrument.

As the next step, the project manager and YWCA Personnel Committee determined that the competencies would be defined by reviewing the agency’s job descriptions and job standards (Mailliard, 1997; Tudor, Trumble, & Flowers, 1996; Luthans & Stajkovic, 1999). Therefore,
based on the review of the job standards for employees, performance competencies were defined. Due to the varied responsibilities and application of the competencies, performance appraisal instruments were developed for non-exempt, exempt, and exempt supervisory employees using the competencies as performance measures. While better performance appraisal processes could impact individual performance, the performance appraisal is only one component of the performance management process.

Step five: Organization diagnosis. In order to review the performance management process of the YWCA, the project manager conducted an organizational analysis, as the fifth step of the YWCA needs assessment. The use of the Weisbord Six-Box model enabled the project manager to identify organizational strengths, as well as gaps in performance. Based on the data compiled, as well as basic performance management theory (Rothwell, Sullivan, & McLean, 1995; Drucker, 1990; Fournies, 1987; Sibson, 1994), the project manager defined the components of the YWCA performance management system. As a means of clarifying the need for and stressing the importance of the key performance management system components as described in existent literature, the project manager developed a model. This model, the Performance Continuum Model© (PCM©), was developed to define performance expectations, coaching, performance appraisal, performance improvement, and recognition processes.

Step 6: Training needs assessment. The sixth component of the YWCA Needs Assessment Process was to determine the challenges and training needs of the YWCA supervisors. A training needs assessment instrument, a self-administered survey, was developed and distributed to the sixteen YWCA supervisors. Data were compiled and the frequency of
challenges and training needs were determined. These data provided the information necessary for the development of supervisory training, focused on the key training needs.

**Step seven: Focus group 2.** The seventh and final step of the YWCA Needs Assessment Process was a focus group (group interview) with YWCA supervisors. Two outcomes were sought for this focus group session. The first outcome was to determine the completeness and usefulness of the newly developed YWCA performance appraisal instruments. Based on the Action Planning Model, there is a need, prior to implementation, “to evaluate the change from a system perspective, considering the impact of the change on the organization” (Rothwell, Sullivan, & McLean, 1995, p. 181). To facilitate the gathering of feedback, the performance appraisal instruments were distributed to the supervisors two weeks in advance of the focus group session. While vital to the change process, there was an additional outcome sought from the focus group with the YWCA supervisors. The second focus group outcome was a validation of the training needs assessment results. The supervisors were given a summary of key challenges and training needs, as determined by the survey instrument. Feedback was sought from the group so that additional revision could be made to the performance appraisal instruments and the supervisors’ training session design (Rothwell, Sullivan, & McLean, 1995). This focus group session completed the YWCA Needs Assessment Process.

**Product Development**

Based on the completion of the YWCA Needs Assessment Process, product development was undertaken by the project manager. The first set of deliverables, final performance appraisal instruments, were prepared. A performance appraisal validation study was then completed to
determine the content, face, criterion and construct validity of the instruments (Fink, 1995).
Additionally, based on current literature, the identified needs of the YWCA employees, and the completion of the YWCA organization analysis, the second deliverable, the PCM®, was developed. The third deliverable of this project was the supervisor's training, which was delivered based on the needs established through both the training needs assessment and the YWCA supervisors' focus group. The results of the YWCA Needs Assessment Process were utilized in the development of all the project deliverables and are explained in Chapter Four of this report.
Chapter Four: Project Results

This project focuses on the current performance management system and the redesign of a new performance appraisal system for the YWCA of Rochester, New York. The study involved a comprehensive needs assessment of the YWCA in Rochester, New York completed in partnership with the YWCA Personnel Committee. Chapter Four reports the findings of the needs assessment analyses performed. This report consists of seven components:

1. an interview with key YWCA personnel,
2. a review of YWCA extant data,
3. discussions with the YWCA Personnel Committee,
4. a benchmark study,
5. an organization analysis,
6. a supervisors' training needs assessment,
7. and a focus group conducted with YWCA supervisors.

In addition, the three key products developed, based on the needs assessment results, are presented: performance appraisal instruments, the Performance Continuum Model, and supervisors' training.

Associate Executive Director Interview Results

The first step of the YWCA organization needs assessment was the initial interview conducted with Stephanie Benson, the Associate Executive Director for the YWCA. This unstructured interview was the basis for the agreement between the YWCA and the project manager to undertake the YWCA needs assessment. The interview focused on six key questions:
1. What were the difficulties the YWCA was having with performance management?

2. What plan had been determined to address the difficulties?

3. Who had been assigned the tasks?

4. What progress had been made? What barriers to progress had been identified?

5. What role would the project manager play? With whom would the project manager work?

6. What responsibilities and authority would the project manager have?

During the interview, all these questions were answered. The results of the interview are described in Table 2, Associate Executive Director Interview Results.

**Review of Extant Data**

Based on the interview conducted with the Associate Executive Director, the project manager was made aware of the YWCA employee survey completed in 1997. As a part of the YWCA needs assessment, the project manager reviewed this extant data. The primary source of information was the compiled YWCA employee survey results. A frequency analysis was completed of these data (See Appendix Two for the extant data analysis results. Three key issues related to the YWCA performance management system were identified by this extant data analysis:

1. Employees and supervisors felt the YWCA performance appraisal process was cumbersome and prone to delay.

2. Employees did not trust that the YWCA performance appraisal process was fair or that it truly reflected their performance.
Table 2

**Associate Executive Director Interview Results**

<table>
<thead>
<tr>
<th>Interview Question</th>
<th>Interview Findings</th>
</tr>
</thead>
</table>
| 1. What were the difficulties the YWCA was having with performance management?      | 1. Cumbersome performance appraisal instruments  
2. Inexperienced supervisors  
3. Lack of supervisory training about performance coaching  
4. Inability to make progress in redesign of the instruments or the performance management system based on workload  
5. Lack of employee trust in the current performance management and appraisal processes  
6. Lack of expertise to undertake the improvement of the performance management system |
| 2. What plan had been determined to address the difficulties?                         | 1. Development of YWCA Personnel Committee  
2. Assignment of responsibility for performance appraisal instrument revision  
3. Assignment of review of training needs for supervisors and development of a training plan |
| 2. Who had been assigned the tasks?                                                 | 1. Leo William, Chief Financial Officer  
2. Lynn Wilkinson, Director of Steppingstones Program  
3. Valerie Snipe, Director of the Women’s Resource Center  
4. Kathy B. Human Resources Coordinator |
| 2. What progress had been made? What barriers to progress had been identified?       | Progress:  
1. Employee survey to determine key issues  
2. Obtained performance appraisal instruments from other non-profits  
3. Begun review of performance appraisal software  
Barriers:  
1. Lack of experience and expertise  
2. Lack of time based on other work responsibilities  
3. Lack of leadership defined for the YWCA Personnel Committee  
4. Uncertainty of which steps to take |
| 2. What role would the project manager play? With whom would the project manager work? | Role:  
1. Undertake the work of revising the performance appraisal instruments and performance management process of the YWCA  
2. Serve as an external HR consultant during the completion of the work  
Working Relationships:  
1. Work in partnership with and through the YWCA Personnel Committee to accomplish the work  
2. Work with the Associate Executive Director in preparation to implementation |
| 2. What responsibilities and authority would the project manager have?               | Responsibilities:  
1. Work in partnership with the YWCA Personnel Committee, serving as consultant and mentor to them in their work  
2. Complete the YWCA needs assessment  
3. Complete the product development for presentation to the Associate Executive Director and Executive Director  
4. Assist with the product implementation  
Authority:  
Authority to develop and recommend. Implementation requires the approval of the Executive Director |
3. Employees and supervisors indicated that the coaching and supervision processes were inconsistent and sometimes, ineffective in addressing performance issues.

The project manager reviewed the extant data analysis results with the Associate Executive Director. She indicated that the project manager’s analysis was correct. The results of this second portion of the needs assessment, as well as the results of the Associate Executive Director interview, provided the basis for the third phase of the YWCA needs assessment, the focus group discussions with the YWCA Personnel Committee.

YWCA Personnel Committee Focus Group Results

After the conclusion of the extant data review, the project manager prepared for a focus group meeting with the YWCA Personnel Committee. Utilizing the data from the first two needs assessment steps, six structured interview questions were developed:

1. From the YWCA Personnel Committee’s perspective, what are the difficulties the YWCA is having with performance management?

2. Do you (the YWCA Personnel Committee) agree that these are the results, related to performance management, of the YWCA employee survey? (See the Appendix One for a handout of the results, as determined by the project manager’s extant data analysis, which was provided to the committee members.)

3. What plan has the YWCA Personnel Committee developed to address the difficulties?

4. What progress has the YWCA Personnel Committee made?

5. What barriers or difficulties are the YWCA Personnel Committee encountering in implementing your plan?
6. What could an external consultant, such as the project manager, do to assist the YWCA Personnel Committee in accomplishing improvements to the YWCA performance management system?

Once the interview questions were developed, the project manager scheduled the focus group meeting with the YWCA Personnel Committee.

The YWCA Personnel Committee focus group began with introductions. The project manager related the results of the interview with the Associate Executive Director and the appointment of the project manager to work with the YWCA Personnel Committee to address the performance management system revisions needed. While a brief introduction of each YWCA Personnel Committee member and the project manager was completed, the committee required additional information about the project manager, as to her qualifications, credentials and experience. The project manager shared her experience, expertise and training with the committee members. This conversation provided the basis for the beginning of the formal focus group process.

The formal focus group process began with the structured interview questions, but additional questions were developed as the focus group continued. Thus, the focus group became both a structured and unstructured interview of the YWCA Personnel Committee. This approach is often used by consultants as an information-gathering method (Rothwell, Sullivan, & McLean, 1995, p. 149 – 150). The results of the YWCA Personnel Committee focus group are found in Table 3, YWCA Personnel Committee Focus Group Results (See the Appendix Two for complete responses).
The YWCA Personnel Committee focus group results provided the third step of the YWCA needs assessment process. One result of the focus group was the finding that the YWCA

Table 3

<table>
<thead>
<tr>
<th>Interview Question</th>
<th>YWCA Personnel Committee Focus Group Findings</th>
</tr>
</thead>
</table>
| From the your perspective, what are the difficulties the YWCA is having with performance management? | 1. Long and difficult performance appraisal instruments  
2. Supervisors with varied levels of supervisory skill and training  
3. Inconsistent skills and training in performance coaching, performance documentation and conducting performance appraisals  
4. Lack of employee trust in the current performance management and appraisal processes. |
| Do you agree that these are the results, related to performance management, of the YWCA employee survey? | 5. Yes, these are key results. 
6. An additional key result, is a lack of confidence in top management to change or improve the performance management system, which resulted in the formation of the YWCA Personnel Committee to undertake their work. |
| What do you see as the work of the YWCA Personnel Committee? (added question) | 7. To revise the performance appraisal instruments, using computer software if possible.  
8. To determine how to implement the new performance appraisal instruments.  
9. To determine the training needed by supervisors and provide that training.  
10. To make recommendations about the committee’s work to the Executive Director (ED), via the Associate Executive Director (AED). |
| What plan did the YWCA Personnel Committee develop to accomplish their work? | 11. Send for sample performance appraisal software.  
12. Test computer software.  
13. Obtain sample performance appraisal instruments from other non-profits.  
14. Revise the performance appraisal instruments.  
15. Schedule supervisors for needed training.  
16. Determine how to implement the new performance appraisal instruments.  
17. Recommend changes to the AED. |
| What progress have you made? | 18. Sample software has been obtained and tried by one committee member.  
19. Ten performance appraisal instruments have been received from other non-profit organizations.  
20. A sample performance appraisal instrument has been developed using the software. |
| What barriers are you encountering? | 21. Time to do the work.  
22. We don’t know where to start developing the performance appraisal instrument since the ED wants the job standards addressed in the instrument.  
23. We’re not sure how to figure out the training needs of the supervisors, based on different levels of experience.  
24. We’re not sure how to choose a training provider.  
25. The other supervisors want to revise everything. |
| What confuses you about your work? (added question) | 26. How do we plan and complete all this work, with everything else we do?  
27. Do we need to design more than one type of instrument?  
28. How do we provide the right training?  
29. Will the performance appraisal instruments alone improve the system? |
| What could an external consultant do to assist you? | 30. Try the software  
31. Design the performance appraisal instruments  
32. Decide the training we need  
33. Giving the training  
34. Making the recommendations  
35. Anything you can give us |

The YWCA Personnel Committee focus group results provided the third step of the YWCA needs assessment process. One result of the focus group was the finding that the YWCA
3. Employees and supervisors indicated that the coaching and supervision processes were inconsistent and sometimes, ineffective in addressing performance issues.

The project manager reviewed the extant data analysis results with the Associate Executive Director. She indicated that the project manager’s analysis was correct. The results of this second portion of the needs assessment, as well as the results of the Associate Executive Director interview, provided the basis for the third phase of the YWCA needs assessment, the focus group discussions with the YWCA Personnel Committee.

YWCA Personnel Committee Focus Group Results

After the conclusion of the extant data review, the project manager prepared for a focus group meeting with the YWCA Personnel Committee. Utilizing the data from the first two needs assessment steps, six structured interview questions were developed:

1. From the YWCA Personnel Committee’s perspective, what are the difficulties the YWCA is having with performance management?

2. Do you (the YWCA Personnel Committee) agree that these are the results, related to performance management, of the YWCA employee survey? (See the Appendix One for a handout of the results, as determined by the project manager’s extant data analysis, which was provided to the committee members.)

3. What plan has the YWCA Personnel Committee developed to address the difficulties?

4. What progress has the YWCA Personnel Committee made?

5. What barriers or difficulties are the YWCA Personnel Committee encountering in implementing your plan?
6. What could an external consultant, such as the project manager, do to assist the YWCA Personnel Committee in accomplishing improvements to the YWCA performance management system?

Once the interview questions were developed, the project manager scheduled the focus group meeting with the YWCA Personnel Committee.

The YWCA Personnel Committee focus group began with introductions. The project manager related the results of the interview with the Associate Executive Director and the appointment of the project manager to work with the YWCA Personnel Committee to address the performance management system revisions needed. While a brief introduction of each YWCA Personnel Committee member and the project manager was completed, the committee required additional information about the project manager, as to her qualifications, credentials and experience. The project manager shared her experience, expertise and training with the committee members. This conversation provided the basis for the beginning of the formal focus group process.

The formal focus group process began with the structured interview questions, but additional questions were developed as the focus group continued. Thus, the focus group became both a structured and unstructured interview of the YWCA Personnel Committee. This approach is often used by consultants as an information-gathering method (Rothwell, Sullivan, & McLean, 1995, p. 149 – 150). The results of the YWCA Personnel Committee focus group are found in Table 3, **YWCA Personnel Committee Focus Group Results** (See the Appendix Two for complete responses).
Table 3

**YWCA Personnel Committee Focus Group Results**

<table>
<thead>
<tr>
<th>Interview Question</th>
<th>YWCA Personnel Committee Focus Group Findings</th>
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| From your perspective, what are the difficulties the YWCA is having with performance management? | 1. Long and difficult performance appraisal instruments  
2. Supervisors with varied levels of supervisory skill and training  
3. Inconsistent skills and training in performance coaching, performance documentation and conducting performance appraisals  
4. Lack of employee trust in the current performance management and appraisal processes. |
| Do you agree that these are the results, related to performance management, of the YWCA employee survey? | 5. Yes, these are key results.  
6. An additional key result, is a lack of confidence in top management to change or improve the performance management system, which resulted in the formation of the YWCA Personnel Committee to undertake their work. |
| What do you see as the work of the YWCA Personnel Committee? (added question)       | 7. To revise the performance appraisal instruments, using computer software if possible.  
8. To determine how to implement the new performance appraisal instruments.  
9. To determine the training needed by supervisors and provide that training.  
10. To make recommendations about the committee’s work to the Executive Director (ED), via the Associate Executive Director (AED). |
| What plan did the YWCA Personnel Committee develop to accomplish their work?         | 11. Send for sample performance appraisal software.  
12. Test computer software.  
13. Obtain sample performance appraisal instruments from other non-profits.  
14. Revise the performance appraisal instruments.  
15. Schedule supervisors for needed training.  
16. Determine how to implement the new performance appraisal instruments.  
17. Recommend changes to the AED. |
| What progress have you made?                                                        | 18. Sample software has been obtained and tried by one committee member.  
19. Ten performance appraisal instruments have been received from other non-profit organizations.  
20. A sample performance appraisal instrument has been developed using the software. |
| What barriers are you encountering?                                                 | 21. Time to do the work.  
22. We don’t know where to start developing the performance appraisal instrument since the ED wants the job standards addressed in the instrument.  
23. We’re not sure how to figure out the training needs of the supervisors, based on different levels of experience.  
24. We’re not sure how to choose a training provider.  
25. The other supervisors want to revise everything. |
| What confuses you about your work? (added question)                                  | 26. How do we plan and complete all this work, with everything else we do?  
27. Do we need to design more than one type of instrument?  
28. How do we provide the right training?  
29. Will the performance appraisal instruments alone improve the system? |
| What could an external consultant do to assist you?                                  | 30. Try the software  
31. Design the performance appraisal instruments  
32. Deciding the training we need  
33. Giving the training  
34. Making the recommendations  
35. Anything you can give us |

The YWCA Personnel Committee focus group results provided the third step of the YWCA needs assessment process. One result of the focus group was the finding that the YWCA
Personnel Committee had obtained sample performance appraisal instruments from non-profit organizations. A second result was that the YWCA Personnel Committee concurred with the project manager's extant data analysis. The YWCA Personnel Committee developed a level of trust and comfort with the project manager during the focus group, as evidenced by their willingness to share their frustration with the lack of progress they had made with the revision of the performance appraisal instruments. Additionally, the YWCA Personnel Committee expressed their desire to continue working with the project manager and were eager to have help in accomplishing their work.

At the conclusion of the focus group, the YWCA Personnel Committee provided the project manager with the computer software demonstration packet, the samples of the non-profit performance appraisals and the current YWCA performance appraisal instrument. Additionally, the committee agreed to provide the project manager with copies of agency job descriptions and job standards.

**Results of Performance Appraisal Benchmark Study**

Based on the focus group discussion held with the YWCA Personnel Committee, six agency performance appraisal instruments were provided to the project manager. The project manager identified eleven key components of performance appraisal instruments to be benchmarked. The project manager then completed a benchmark study of the six agency performance appraisal instruments and the current YWCA performance appraisal instrument. The results of the benchmark study are found in Table 4: *Performance Appraisal Key Components*. 
After the components of the seven performance appraisals were analyzed, the project manager utilized the Action Planning Model (Rothwell, Sullivan, & McLean, 1995) to complete the revision of the YWCA performance appraisal instruments. The Action Planning Model provides for key stakeholders to be involved in the planning process, an evaluation of relevant data and agreement being reached on what needs to be changed (Rothwell, Sullivan, & McLean, 1995, p. 177). The project manager reviewed the results of the benchmark study with the YWCA Personnel Committee. During that discussion, the project manager stressed the importance of ensuring that job standards were reflected within the performance appraisal instrument and the need to simplify the method of assessing those standards.
The current method for assessing job standards in the YWCA performance appraisal was for an assessment of each job standard to be completed. This created a lengthy and unwieldy instrument, since as many as fifty job standards may be identified. Based on the need to simplify the instrument, include all eleven key components and a review of the performance appraisal software sample, the project manager recommended that job standards be grouped so that the appraisal process would be simplified.

The project manager shared that one method of grouping the job standards was to group them into competencies. Competencies are often used as a basis for performance measurement, since they are specific and behavioral (Kravetz, 2000). Based on the knowledge, skills and abilities reflected in the job standards, the project manager identified thirteen key competencies:

1. dependability,
2. interpersonal skills and communication,
3. job knowledge,
4. adaptability and flexibility,
5. productivity,
6. managing performance (supervisor's appraisal only),
7. budgets and cost control,
8. quality of work,
9. planning and organization of work,
10. teamwork,
11. initiative,
The YWCA desired both a behavioral and a management-by-objective (Peters & Waterman, 1982) focus be present in the performance appraisal process. It was, therefore, important to retain the focus on objectives found in the current YWCA performance appraisal instrument. The project manager recommended that the new performance appraisal instruments incorporate all eleven key performance appraisal components; include the key thirteen competencies, which would be defined to incorporate the job standards; and utilize the sample computer software to develop the performance appraisal instruments. The YWCA Personnel Committee and the Associate Executive Director accepted the project manager’s recommendations. Due to the varied responsibilities and application of the competencies, three separate performance appraisal instruments were developed based on these requirements: one for non-exempt employees, one for exempt, and one for exempt supervisory employees.

The performance appraisal instruments are computer supported. Each of the three instruments four parts. Part one allows the identification of the employee through demographic data that includes: name, the position held, the date of hire, the date of the last appraisal, and the date of the current appraisal. There are signature lines for the supervisor, the Assistant Executive Director and the Executive Director and the employee. There is an opportunity to identify an overall rating and for the employee to comment on the performance rating. Part two includes the goals and objectives that have been evaluated during the performance appraisal period. Part two appraises the thirteen key competencies identified as critical to employee success. Part four allows
the employee and the supervisor to identify the goals and objectives for the next performance appraisal period.

The development of performance appraisal instruments addressed only one component of the YWCA’s performance management system. There was still a need for the project manager to examine other components of the YWCA’s performance management system utilizing an organization analysis.

**Performance Management System Analysis**

In order to review the performance management process of the YWCA, the project manager conducted a performance management system analysis, as the fifth step of the YWCA needs assessment. The use of the Weisbord Six-Box Model enabled the project manager to identify organizational strengths, as well as gaps in performance. This work model explores “six labels under which one can sort out much of the ‘funny stuff’ that goes on in organizations, both formal and informal. These labels allow people to apply whatever theories they already know in doing a diagnosis and to discover new connections among apparently unrelated events” (Weisbord, 1978, p. 8). The six labels or boxes included in the Weisbord model (1978, p.9) are:

1. **Purposes** – What business are we in?
2. **Structure** – How do we divide up the work?
3. **Relationships** – How do we manage conflict (coordinate) among people? With our technologies?
4. **Rewards** – Is there an incentive for doing all that need doing?
5. **Leadership** – Is someone keeping the boxes in balance?
6. **Helpful Mechanisms – Have we adequate coordinating technologies?**

For the purposes of this project, the Weisbord Six-Box Model (1978) was used to analyze the performance management system of the YWCA, rather than to diagnosis the entire organization. Diagnosis results are found in Table 5: *Performance Management System Analysis*. (See the complete diagnosis results included in the Appendix Four.) The analysis revealed gaps in the YWCA Performance Management System. Based on the literature review completed as a part of this project, the project manager created the Performance Continuum Model© (PCM©). The PCM© (Figure 2) provides a model for an effective performance management system.
### Performance Management System Analysis

<table>
<thead>
<tr>
<th>Six-Box Model Component</th>
<th>Current State</th>
<th>Desired State</th>
<th>Gap</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Purpose</strong></td>
<td>1. Recruitment of staff, moderately high turnover</td>
<td>1. Recruitment and retention of qualified staff</td>
<td>1. Lack of targeted recruitment and written staff retention plans</td>
</tr>
<tr>
<td></td>
<td>2. Effective definition of jobs</td>
<td>2. Job descriptions which clearly define tasks and results</td>
<td>2. Lack of key results in job descriptions</td>
</tr>
<tr>
<td></td>
<td>3. Establishment of job standards</td>
<td>3. Job standards which do not relate to competencies</td>
<td>3. Job standards which do not relate to competencies</td>
</tr>
<tr>
<td></td>
<td>4. Benefits Orientation</td>
<td>4. Lack of developed orientation and training plans for all employees</td>
<td>4. Lack of developed orientation and training plans for all employees</td>
</tr>
<tr>
<td></td>
<td>5. Unstructured on-the-job training</td>
<td>5. Career plans are not developed and made clear to employees</td>
<td>5. Career plans are not developed and made clear to employees</td>
</tr>
<tr>
<td></td>
<td>7. Unwieldy performance appraisal instruments</td>
<td>7. Gaps in supervisor’s ability to monitor performance</td>
<td>7. Gaps in supervisor’s ability to monitor performance</td>
</tr>
<tr>
<td></td>
<td>11. No formal performance improvement process</td>
<td>11. Lack of compensation plan which reflects a performance orientation</td>
<td>11. Lack of compensation plan which reflects a performance orientation</td>
</tr>
<tr>
<td><strong>Structure</strong></td>
<td>1. No clear definition of performance management system and process</td>
<td>1. A written and well-defined performance management system and process</td>
<td>1. Lack of a well-defined performance management system and process</td>
</tr>
<tr>
<td></td>
<td>2. Lack of clear supervisory responsibilities for performance management</td>
<td>2. Lack of clear supervisory responsibilities for performance management</td>
<td>2. Lack of clear supervisory responsibilities for performance management</td>
</tr>
</tbody>
</table>
Table 5

Performance Management System Analysis (continued)

<table>
<thead>
<tr>
<th>Six-Box Model Component</th>
<th>Current State</th>
<th>Desired State</th>
<th>Gap</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relationships</td>
<td>1. Adversarial relationship between some staff and supervisors</td>
<td>1. Positive relationships between staff and supervisors</td>
<td>1. Methods to develop positive staff and supervisor relationships</td>
</tr>
<tr>
<td></td>
<td>2. Inconsistent supervisory relationships across the agency between supervisors and staff</td>
<td>2. Team atmosphere within departments</td>
<td>2. Few team building and team development opportunities</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3. Consistency in performance expectations between staff and both inter- and inter-departmentally</td>
<td>3. Lack of consistent understanding and implementation of performance expectations</td>
</tr>
<tr>
<td></td>
<td>2. Performance and raises not linked</td>
<td>2. Performance oriented process</td>
<td>2. Employees have entitlement orientation</td>
</tr>
<tr>
<td></td>
<td>3. Cumbersome performance appraisal system and instrument</td>
<td>3. Simple and streamlined performance appraisal system and instruments</td>
<td>3. Lack of effective performance appraisal instruments which relate to job standards and behaviors</td>
</tr>
<tr>
<td>Leadership</td>
<td>1. Distrust of top management</td>
<td>1. Improved trust of top and middle management</td>
<td>1. Lack of team building and trust building activities and opportunities</td>
</tr>
<tr>
<td></td>
<td>2. Cumbersome management processes</td>
<td>2. Streamlined, effective management processes</td>
<td>2. Need for streamlined communication and management processes</td>
</tr>
<tr>
<td>Helpful Mechanisms</td>
<td>1. Monthly supervisor meetings</td>
<td>1. Effective and informative supervisor meetings with opportunities for shared leadership and staff development</td>
<td>1. Lack of defined shared leadership processes and opportunities to define staff development needs for supervisors or staff</td>
</tr>
<tr>
<td></td>
<td>2. Employee involvement on committees</td>
<td>2. Value placed on employee input and participation on committees, specifically focused on HRD</td>
<td>2. No HRD focus apparent in committees processes</td>
</tr>
<tr>
<td></td>
<td>3. Annual goals set</td>
<td>3. Clearer links between individual performance goals and organizational goals</td>
<td>3. Lack of links between individual attainment of performance goals and organizational success</td>
</tr>
<tr>
<td></td>
<td>4. Clear job standards</td>
<td>4. Job standards which relate to job competencies and organizational results</td>
<td>4. No overall job competencies defined or included on the performance appraisal instrument</td>
</tr>
</tbody>
</table>

Current literature (Rothwell, Sullivan & McLean, 1995; Worley & Cummings, 1993; Drucker, 1990; Fournies, 1987) indicates that performance management systems then include...
three components:

1. the recruiting and selection of employees,
2. the job descriptions which describe the job function and responsibilities of the individuals,
3. the orientation and training of the individual so that performance expectations are clear,
4. the ongoing and regular supervision, coaching and feedback given to the individuals by the supervisors which further clarifies the performance expectations,
5. performance appraisal processes which allow the individual employees to comment on their performance and provide the supervisors with a mechanism to compare and contrast expectations with actual performance,
6. and reward and recognition processes that provide the individual employees with remuneration and/or incentive for improving poor or continuing good performance.

Overall, the gaps identified in the diagnosis of YWCA Performance Management System fall in ten key categories:

1. Lack of targeted recruitment strategies and overall staff retention planning
2. Lack of defined key results for jobs
3. Lack of effective and complete organizational orientation and job training
4. Lack of career planning and pathing
5. Lack of consistent models of coaching and supervisory support and performance monitoring
6. Lack of link between employee performance and organizational performance

7. Lack of clear methods to develop skills through staff development

8. Lack of positive relationship building between top management and staff, middle managers and staff and within the supervisory group

9. Lack of link between performance and reward and recognition systems

10. Lack of clarity about job competencies, appropriate job behaviors and job standards

The PCM© provides a method for defining an effective performance management system. Figure 2: The Performance Continuum Model© describes an effective performance management system. The PCM© demonstrates the interconnectedness of the individual employee expectations with the organizational alignment. This alignment provides a helpful mechanism, as defined by Weisbord (1978), which coordinates the relationships within the organization. Linking organizational mission and vision with the individual's expectations is key. However, if the components of the performance management system fail to connect with the individual or provide the individual the means to meet individual expectations, employee retention may suffer and there is a decreased likelihood of attaining the organizational mission and goals (Fournies, 1987). Thus, an integrated performance management system, or a continuum of performance management, all linked to the individual and the organizational mission and goals, is vital to organizational success.

Since the YWCA had diagnosed gaps in their performance management system, this analysis and the use of the PCM© provides one method for improving their performance management system. A key deficiency in the YWCA Performance Management System is the lack of consistent supervisory performance monitoring and coaching. In order to determine the challenges the
supervisors identify and the training they feel is required to address their job responsibilities, a self-administered training needs assessment was completed.

Figure 2

The Performance Continuum Model©
Supervisors’ Training Needs Assessment Results

The YWCA staff includes eighteen supervisory staff. Of these staff, staff tenure varies from less than one year to more than seven years:

- two have been on staff less than one year,
- one has been on staff for between one and three years,
- six have been on the staff for three to five years,
- two have been on the staff from five to seven years,
- and seven have been on staff for more than seven years.

All but one of the supervisors are women. The supervisors’ educational background range from some college to graduate degrees, with eight have some college education or have completed BA or BS degrees and ten have taken some advanced coursework or have completed advanced degrees. Ten supervisors have worked in profit-making companies, prior to their tenure with the YWCA. The remaining eight supervisors have always worked in non-profit organizations.

Additionally, five supervisors consider themselves top-level management, six supervisors consider themselves mid-level management, and seven consider themselves first level management.

The supervisors were asked to respond to two forced-response questions. One required the supervisors to assess the challenges they find in their role as supervisor. The supervisors were then asked to determine the importance of each challenge. Similarly the supervisors were asked to identify their most important training needs. Each of the two questions provided the option of adding additional challenges or training needs (A sample copy of the Supervisors’ Training Needs
Table 6:

Supervisor’s Training Needs Assessment Results: Challenges Faced and Top Training Needs by Frequency of Response

<table>
<thead>
<tr>
<th>Challenges Faced</th>
<th>Frequency of Response</th>
<th>Top Training Needs</th>
<th>Frequency of Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Problem Solving</td>
<td>10</td>
<td>How to Coach my Staff</td>
<td>6</td>
</tr>
<tr>
<td>Interruptions</td>
<td>11</td>
<td>Agenda for Supervisory Meeting</td>
<td>1</td>
</tr>
<tr>
<td>Performance Appraisals</td>
<td>8</td>
<td>Follow-up on Tasks or Delegation</td>
<td>4</td>
</tr>
<tr>
<td>Coaching Staff</td>
<td>10</td>
<td>Managing My Own Time</td>
<td>10</td>
</tr>
<tr>
<td>Corrective Discipline</td>
<td>16</td>
<td>Developing Problem-solving Plans</td>
<td>5</td>
</tr>
<tr>
<td>Follow-up with Staff</td>
<td>9</td>
<td>Conducting Performance Appraisals</td>
<td>4</td>
</tr>
<tr>
<td>Defining Expectations</td>
<td>9</td>
<td>Staff Discussions about Corrective Issues</td>
<td>10</td>
</tr>
<tr>
<td>Multiple Priorities</td>
<td>15</td>
<td>Controlling Interruptions</td>
<td>8</td>
</tr>
<tr>
<td>Terminating an Employee</td>
<td>11</td>
<td>Setting Goals/Defining Objectives</td>
<td>6</td>
</tr>
<tr>
<td>Defining Objectives</td>
<td>7</td>
<td>Clarifying Expectations with Supervisees</td>
<td>8</td>
</tr>
<tr>
<td>Monitoring Work Performance</td>
<td>12</td>
<td>Developing Performance Improvement Plans</td>
<td>5</td>
</tr>
<tr>
<td>Personal Time Management</td>
<td>12</td>
<td>Documenting Performance Issues</td>
<td>4</td>
</tr>
<tr>
<td>Writing Reports</td>
<td>8</td>
<td>Organizing Work Space and Work Flow</td>
<td>8</td>
</tr>
<tr>
<td>Delegating to Staff</td>
<td>8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Communicating Clearly</td>
<td>13</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gathering Input from Staff</td>
<td>8</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Documenting Performance Issues</td>
<td>10</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Building Trust with Staff</td>
<td>8</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Assessment instrument can be found in the Appendix Five. The survey results can be found in Table 6. A frequency analysis of the supervisory challenges and the training needs were the key results sought with the survey.

Five supervisory challenges were most frequently reported:

1. Corrective Discipline,
2. Multiple Priorities
3. Communicating Clearly
4. Personal Time Management
5. Monitoring Work Performance

The top five training needs identified were:

1. Managing Personal Time
2. Having Staff Discussions about Corrective Issues
3. Controlling Interruptions
4. Clarifying Expectations with Supervisees
5. Organizing Work Space and Work Flow

Three of the most frequently identified supervisory challenges (corrective discipline, communicating clearly, and monitoring work performance) and three of the most frequently identified training needs (having discussions with staff about corrective issues, clarifying expectations, and organizing work flow) directly relate to performance management as defined through this project (Rothwell, Sullivan & McLean, 1995; Worley & Cummings, 1993; Drucker, 1990; Fournies, 1987). The results of the Supervisors’ Training Needs Assessment were prepared for a focus group meeting with the YWCA supervisors.

YWCA Supervisors Focus Group

As indicated in the Methodology Chapter of this paper, the YWCA Supervisor Focus Group had two main purposes. The first purpose was to gather feedback about the newly prepared performance appraisal instruments. The second purpose was to share the results of the YWCA Supervisors’ Training Needs Assessment. The YWCA Supervisor Focus Group began with introductions. Then the project manager shared the construct of the project and provided background into the efforts that had been taken by the YWCA Personnel Committee and project
manager thus far. The project manager then opened the focus group with a request for feedback about the performance appraisal instruments. Eight suggestions for changes were made:

1. Add employee hire anniversary dates.

2. Indicate that the employee signature implies that the appraisal has been read, but does not indicate agreement.

3. Include a space for the date of the last performance appraisal.

4. Define the performance ratings.

5. Indicate that employee objectives are developed in mutual agreement with the supervisor and the employee.

6. Ensure the fields are consistent in format, tense, etc.

7. Provide a space for an overall performance rating.

8. Add cost control as a competency to both the exempt and non-exempt performance appraisal.

At the end of the discussion about the performance appraisal instruments, the supervisors thanked the project manager for her work and indicated a positive reaction to the forms. The YWCA Contact Person, Stephanie Benson, offered to conduct a pilot validation study with the performance appraisal forms. While outside the scope of this project, the performance appraisal forms were provided to Benson so that the pilot could be conducted. The discussion with the focus group then moved to the second topic, the Supervisors' Training Needs Assessment Results.

The preliminary results of the Supervisors' Training Needs Assessment were shared with
the supervisors. The project manager sought feedback as to the accuracy of the top challenges and top training needs determined by the needs assessment. The supervisors unanimously agreed that the results were accurate. Additionally, the supervisors shared the results of evaluations from a recent leadership training session. The evaluation also sought to gather information about additional training needs. The results indicated a need for training sessions addressing seven areas:

1. communication skills,
2. supervision,
3. techniques for dealing with difficult employees,
4. situational leadership,
5. imparting the vision, setting objectives and goals,
6. time management,
7. and managing multiple priorities.

These topics relate to the top five training needs identified by the YWCA Supervisors' Training Needs Assessment:

1. having staff discussions about corrective issues,
2. controlling interruptions,
3. clarifying expectations,
4. organizing work flow,
5. and managing personal time.

The project manager and YWCA supervisors discussed the training priorities and the information was given to the YWCA Personnel Committee, which will be responsible for contracting the for
Performance Appraisal Systems 72

the supervisory training. The project manager was given the assignment of offering a one-hour workshop on Staff Recruitment and Hiring (see the Appendix Six for training handouts). Due to the time constraints, lecture, brainstorming and group discussion were the three training delivery methods used. The training was delivered at the March supervisor’s meeting. Training evaluation results may be found in Table 7: Recruitment and Hiring Training Evaluation Results.

Table 7

Recruitment and Hiring Training Evaluation Results

<table>
<thead>
<tr>
<th>I learned...</th>
<th>I wish we had...</th>
<th>I liked...</th>
<th>I hated...</th>
<th>Next time...</th>
</tr>
</thead>
<tbody>
<tr>
<td>Great tips about hiring and interviewing</td>
<td>Given more practice what we just learned</td>
<td>Bonnie’s style</td>
<td>Nothing</td>
<td>Disciplinary procedures</td>
</tr>
<tr>
<td>How to raise questions to get honest answers</td>
<td>More time to ask specific questions</td>
<td>Getting involvement from the group</td>
<td>Breaking into small groups to practice</td>
<td>Detailed matrix example (internal YWCA process)</td>
</tr>
<tr>
<td>About Knowledge, Skills and Attitudes</td>
<td>Had more time to cover this issue</td>
<td>The combination of lecture, handouts and small group activity</td>
<td>Starting late</td>
<td>Supervision of difficult staff</td>
</tr>
<tr>
<td>About Problem, Action, and Results</td>
<td>Had done more and made it longer</td>
<td>The presentation with flip chart, handouts and interaction</td>
<td>Strategies for dealing with problem employees</td>
<td></td>
</tr>
<tr>
<td>How to prepare for an interview</td>
<td>Had more time to discuss what interview questions you can and can’t ask</td>
<td>The small group pooling of information</td>
<td>Pre-reading before the presentation would be helpful</td>
<td></td>
</tr>
<tr>
<td>The importance of questions that address attitude</td>
<td>More time to develop sample questions from various departments</td>
<td>Everything we talked about</td>
<td>I expect to learn even more about other topics</td>
<td></td>
</tr>
<tr>
<td>Wording interview questions</td>
<td>Had time to do mock interviews</td>
<td>As a new supervisor I liked everything</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Evaluation results indicate the supervisors were generally pleased with the content, delivery style, and format of the training. However, ten of twelve supervisors indicated a need for more time to discuss the topic. Three topics for future training were identified:

1. disciplinary procedures,
2. supervision of difficult employees, and
3. strategies for dealing with problem employees.

The evaluation results were shared with the YWCA Personnel Committee, which will be responsible for recommending additional supervisory training. The YWCA Personnel Committee scheduled one additional meeting with the project manager to prepare a presentation about the project’s findings with the YWCA Executive Director and Associate Executive Director. That presentation is beyond the scope of the project and is not discussed in this paper. At the conclusion of the presentation, the paper will be presented to the YWCA Personnel Committee and Contact Person, Stephanie Benson.

Summary of Project Results

This project focuses on the current performance management system and the redesign of a new performance appraisal system, based on an organizational needs assessment, for the YWCA of Rochester, New York. This project was undertaken in cooperation with the YWCA Associate Executive Director and Personnel Committee. The project encompassed an extensive needs assessment of the YWCA which included seven steps:

1. an interview with key YWCA personnel,
2. a review of YWCA extant data,
3. focus group with the YWCA Personnel Committee,
4. a benchmark study,
5. an organization analysis,
6. a supervisors’ training needs assessment,
7. and a focus group conducted with YWCA supervisors.
The results of the YWCA Needs Assessment Process have been reviewed in this chapter.

Additionally, this chapter of the paper includes a discussion of the deliverables produced as a part of this project. Based on the analysis of data gathered during the completion of the YWCA Needs Assessment Process, the project manager has several recommendations for the YWCA Executive Director, Associate Executive Director, and Personnel Committee. These recommendations are shared in Chapter Five.
Chapter Five: Conclusions and Recommendations

This project focused on the current performance management system and the redesign of a new performance appraisal system, based on an organizational needs assessment, for the YWCA of Rochester, New York. The project was undertaken in partnership with the YWCA Associate Executive Director and Personnel Committee.

The project involved the design and implementation of an extensive needs assessment process, the development of three deliverables, and the reporting of results. Over the past seven months, the project manager has worked with the YWCA Personnel Committee to accomplish this project. The initial meeting with the YWCA Contact Person, Stephanie Benson, defined the need for the project. After that interview was completed, the project manager reviewed extant data.

The next step was the focus group meeting with the YWCA Personnel Committee. However, the focus group meeting was difficult to schedule, since the calendars of all the participants were full. There was an eight-week delay between the meeting with the Associate Executive Director to discuss the extant data analysis results and the need for a focus group meeting with the YWCA Personnel Committee.

Once the project began, the YWCA Personnel Committee provided invaluable assistance to the project manager as she focused on the completion of this project. However, the analysis and revision of the performance management system is simply one part of an overall organization development intervention that should be undertaken with the YWCA.

The YWCA staff seems frustrated by the lack of change and progress that their
organization is making. This frustration is evidenced by the YWCA employee survey which indicated a lack of trust in top management and a lack of clarity in the direction of the YWCA.

Some strategic planning has taken place since that survey was completed, but the project manager heard many comments about the project’s completion having little impact on the organization. There is a feeling among the staff that ideas and potential changes are explored, but the recommendations are not implemented. This level of frustration can and, this project manager believes, is having a negative effect on employee morale.

The top management of the YWCA needs to establish a course and direction for the agency, define the change needed, and make every effort to follow up with the implementation of the systems and processes which will achieve the change and desired results. The potential is definitely present within the able and committed YWCA staff.

Therefore the project manager makes the following recommendations to the YWCA:

1. Explore the levels of trust among and between departments within the YWCA.
2. Determine what organization development interventions would facilitate an increased feeling of trust and teamwork among the staff.
3. Explore methods to provide increased communication from top management to all levels of the organization.
5. Create shared leadership opportunities for staff to make decisions, or at least offer input into the decision-making processes. Close the communication loop by reporting on the decisions made and the rationale for those decisions.

6. Hire a full-time senior level Human Resource Development professional to monitor the performance management system and begin the organization development interventions.

While this is not an exhaustive list, these recommendations could provide the YWCA an opportunity to become a cutting edge, quality based non-profit organization.

The project manager wishes to thank the staff of the YWCA, particularly the supervisors and the YWCA Personnel Committee, for the contributions of ideas, time, and feedback and group participation they have provided during the completion of this project.
References


Appendix One

YWCA Employee Survey Extant Data Results

The compiled results of the YWCA Employee Opinion Survey were reviewed. The project manager then developed a synopsis for the YWCA Personnel Committee Focus Group. The survey was distributed to all seventy-two (72) staff members. A total of 68 surveys were returned, a 95% return rate. A frequency analysis was completed based on the data collected. The analysis results can be found in Table 8: YWCA Employee Survey Extant Data Results. The information was shared with the YWCA Personnel Committee during the Focus Group 1 discussions.

Table 8:

<table>
<thead>
<tr>
<th>Theme/Topic identified in the employee survey</th>
<th>Frequency of Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Evaluation</td>
<td>23</td>
</tr>
<tr>
<td>Processes (including decision-making)</td>
<td>22</td>
</tr>
<tr>
<td>Recognition</td>
<td>20</td>
</tr>
<tr>
<td>Management/Employee Trust</td>
<td>22</td>
</tr>
<tr>
<td>Employee Training</td>
<td>15</td>
</tr>
<tr>
<td>Planning and Time Management</td>
<td>11</td>
</tr>
<tr>
<td>Employee involvement &amp; Participation</td>
<td>13</td>
</tr>
<tr>
<td>Management/Employee Communication</td>
<td>10</td>
</tr>
<tr>
<td>Workload</td>
<td>7</td>
</tr>
<tr>
<td>Compensation</td>
<td>5</td>
</tr>
<tr>
<td>Parking Lot Safety</td>
<td>10</td>
</tr>
<tr>
<td>Policies and Procedures</td>
<td>4</td>
</tr>
<tr>
<td>Safety Policies and Procedures</td>
<td>3</td>
</tr>
<tr>
<td>Interpersonal Skills</td>
<td>3</td>
</tr>
<tr>
<td>Program Knowledge</td>
<td>2</td>
</tr>
<tr>
<td>Facilities &amp; Equipment</td>
<td>2</td>
</tr>
<tr>
<td>Safety Training</td>
<td>1</td>
</tr>
<tr>
<td>Market Pay Comparisons</td>
<td>1</td>
</tr>
<tr>
<td>Organizational Committees</td>
<td>1</td>
</tr>
<tr>
<td>Management Visibility</td>
<td>0</td>
</tr>
</tbody>
</table>
Appendix Two

YWCA Personnel Committee Focus Group Results

The project manager held a preliminary focus group discussion with the YWCA Personnel Committee. This focus group session was a group interview using both a structured and unstructured questions. A pictorial description of the question responses is provided in Figure 3: YWCA Personnel Committee Focus Group Results. Figure 3 indicates the level of agreement with each question response. The responses are summarized in Chapter Four: Project Results. You will note that Figure 3 does not indicate which individual responded to which questions. Since this was a preliminary focus group, the frequency of response provided the project manager with the level of detail required to move forward with the rest of the project.
Figure 3: YWCA Personnel Committee Focus Group Results

Question 1: Performance Mgmt Difficulties

Response 1: Long, Difficult performance Appraisal instruments
Response 2: Varied Supervisory Skills
Response 3: Inconsistent coaching, perf. documentation
Response 4: Lack of employee trust in current processes

Response 1: Long, Difficult performance Appraisal instruments
Response 2: Varied Supervisory Skills
Response 3: Inconsistent coaching, perf. documentation
Response 4: Lack of employee trust in current processes

Question 2: Agreement with employee survey results

Response 1: Yes, these are key results
Response 2: Additional result lack of confidence in management to change or improve

Response 1: Yes, these are key results
Response 2: Additional result lack of confidence in management to change or improve

Question 3: See as the work of the committee

Response 1: Revise perf appraisal instruments
Response 2: Determine how to implement new instruments
Response 3: Determine training needs
Response 4: Make recommendations to the ED and AED

Response 1: Revise perf appraisal instruments
Response 2: Determine how to implement new instruments
Response 3: Determine training needs
Response 4: Make recommendations to the ED and AED

LW = +++
LyW = ++++
KB = ++
VS = +++
Question 4
Plan to accomplish work

Response 1:
Send for software sample
Response 2:
Test software
Response 3:
Sample other perf. Appraisal instruments
Response 4:
Revise the YWCA perf. appraisal instrument
Response 5:
Schedule needed training
Response 6:
Determine how to implement perf. appraisal instruments
Response 7:
Recommend changes to AED

Question 5
Progress Made

Response 1:
Sample software demo
Response 2:
Performance instruments received
Response 3:
Sample instrument designed

Question 6
Barriers encountered

Response 1:
Time
Response 2:
Where to start
Response 3:
How to do needs assessment
Response 4:
How to find a trag. Provider
Response 5:
Other supervisors will want to revise our work
Question 7
What confuses you?

Response 1:
How do we complete this project with all our other work?

Response 2:
Do we need to design more than one instrument?

Response 3:
How do we provide the right training?

Response 4:
Will the performance appraisal instruments alone improve the system?

Question 8
What could a consultant do to help you?

Response 1:
Try the software.

Response 2:
Design the instruments.

Response 3:
Decide on the training.

Response 4:
Give the training.

Response 5:
Make the recommendations.

Response 6:
Anything you can give us.
Appendix Three

YWCA Performance Appraisal Instruments

The three performance appraisal instruments were developed. Separate instruments were created for supervisors, exempt staff without supervisory responsibility, and non-exempt staff. To obtain copies of the performance appraisal instruments, please call Bonnie Bates-Vulcheff at 716-321-3203 or write her at 48 Cobblestone Drive, Rochester, New York 14623.
Appendix Four

Performance Management System Analysis

The Weisbord Six-Box Model (Weisbord, 1978) was used to complete the Performance Management System Analysis. The model was used to focus on performance management rather than the whole YWCA organization. Specific results are discussed in Chapter Four: Project Results.

**Six-Box Model Results**

**Input/output overview.**

A. List three important environmental demands that influence your organization’s performance management system:

1. Tight Rochester labor market which makes it important to retain staff
2. Difficulty in determining effective performance strategies used by other organizations
3. Increased competition for funding streams requires increased efficiency and effectiveness

**A. Major inputs, outputs and sources of feedback**

**Inputs**

1. Committed staff at all levels
2. Desire to improve the systems
3. Tenured management staff
Outputs

1. Increased employee satisfaction
2. Increased employee retention
3. Less anxiety about performance management and appraisal processes

Feedback Sources:

1. Performance appraisal comments by employees and supervisors
2. Supervisors' meetings
3. 2001 employee opinion survey

A. What name would you put on your “transformation process?” What is the thing you do that makes your organization unique?

An inclusive, participative performance management process that involves both staff and supervisors and provides quality and excellent productivity for the organization.

**Output congruity model**

Management Satisfaction

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B</th>
</tr>
</thead>
<tbody>
<tr>
<td>Staff</td>
<td>+</td>
<td></td>
</tr>
<tr>
<td>Satisf</td>
<td>-</td>
<td></td>
</tr>
</tbody>
</table>

A. Major output you wish to trace: Increased employee satisfaction

B. Write a few words describing management/staff satisfaction right now. In which cell on the
matrix would you place your organization? ___A____B____C_X_D (Check one)

C. Circle your judgement on the scales below:

<table>
<thead>
<tr>
<th></th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Staff</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Extremely Dissatisfied</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Management</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Formal system</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

A. What documents, if any, concretely define your performance management system's purpose?

There is no written document describing the whole system. A supervisors' manual is in development. The current performance appraisal instrument identifies performance levels. Current job standards clarify expectations for performance.

There is no explanation of the components of performance management or consistent application of supervision, coaching and feedback.

B. From these documents or other sources, what are the formal central purposes supposed to be?

- the recruiting and selection of employees,
- the job descriptions which describe the job function and responsibilities of the individuals,
- the orientation and training of the individual so that performance expectations are clear,
- the ongoing and regular supervision, coaching and feedback given to the individuals by the supervisors which further clarifies the performance expectations,
• performance appraisal processes which allow the individual employees to comment on their performance and provide the supervisors with a mechanism to compare and contrast expectations with actual performance,
• and reward and recognition processes which provide the individual employees with remuneration and/or incentive for improving poor or continuing good performance

A. From your knowledge of environmental demands, how congruent are the purposes in (A) and (B) above about your performance management system? How good is the fit between stated purposes and consumer needs?

____Excellent  _____Good  ___X____ Fair  _____Poor

Informal system.

D. To what extent do most people in the organization understand the purposes the same way you do?

Most would agree

1  2  3  4  5  Most would not agree

E. To what extent do the people in the organization see it serving in major ways purposes different from the stated ones?

To a great extent

1  2  3  4  5  To no extent
F. Note examples of behaviors which tend to contradict formal purposes, showing lack of clarity or lack of agreement.

Lack of enthusiasm for the performance management process
Delays in completing performance appraisals
Excessive reliance on annual performance appraisal as the only coaching process
Employee dissatisfaction with the performance appraisal process
Management dissatisfaction with the performance appraisal process
Steps in the performance management process missing or inconsistently practiced

**Diagnosing rewards.**

A. Measure the existing system – formal and informal – against Maslow’s hierarchy. What exists now that fulfills each need:

<table>
<thead>
<tr>
<th>Need</th>
<th>Formal System</th>
<th>Informal System</th>
</tr>
</thead>
</table>
| Personal Growth | Job standards  
Ongoing training opportunities |                                              |
| Esteem        | Annual employee of the year recognition  
Recognition from supervisor |                                              |
| Belongingness | Orientation to agency  
Orientation to department | Interpersonal relationships                      |
| Safety        |                                                   | Sense of community with other staff              |
| Physiological | Market matching wages  
Merit increases |                                                  |
B. Now, try the same thing with “motivators” versus “hygiene factors.”

<table>
<thead>
<tr>
<th></th>
<th>Formal Example</th>
<th>Informal Example</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Motivators</strong></td>
<td><strong>Work itself</strong></td>
<td><strong>Value of work to clients</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Responsibility</strong></td>
<td><strong>Positive performance assessment</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Achievement</strong></td>
<td><strong>Personal ethic</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Advancement</strong></td>
<td><strong>Internal promotion</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Recognition</strong></td>
<td><strong>Employee of the year</strong></td>
</tr>
<tr>
<td><strong>Hygiene Factors</strong></td>
<td><strong>Interpersonal and supervisor relations</strong></td>
<td><strong>Effective coaching process</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Technical supervision</strong></td>
<td><strong>Job standards as tool</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Working conditions</strong></td>
<td><strong>Well equipped offices</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Policies</strong></td>
<td><strong>Written policies</strong></td>
</tr>
<tr>
<td></td>
<td><strong>Salary</strong></td>
<td><strong>Market matching salary</strong></td>
</tr>
</tbody>
</table>

A. For your reward system, what are its main:

<table>
<thead>
<tr>
<th>Strengths</th>
<th>Weaknesses</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job standards provide the basis</td>
<td>Lack of clarity about expectations</td>
</tr>
<tr>
<td>Pay-for-performance orientation</td>
<td>Merit pay barely meets cost of living</td>
</tr>
<tr>
<td>Employee of the year recognition</td>
<td>Lack of trust in the performance appraisal</td>
</tr>
<tr>
<td>Organizational orientation</td>
<td>Lack of consistent coaching for performance</td>
</tr>
<tr>
<td>Departmental orientation</td>
<td>Few opportunities for feedback</td>
</tr>
<tr>
<td>Opportunities for training</td>
<td>Delays in providing performance appraisal</td>
</tr>
<tr>
<td></td>
<td>Lack of ongoing coaching with staff</td>
</tr>
</tbody>
</table>
Appendix Five

Supervisors' Training Needs Assessment

Supervisors’ Training Needs Assessment Instrument

A Supervisor’s Training Needs Assessment Instrument was developed by the project manager to help determine the challenges and training needs that the YWCA supervisors identified as most important. The instrument follows on the next two pages.
YWCA Supervisors’ Training Needs Assessment

1. **Indicate how long you have been a supervisor:**
   - [ ] less than one year
   - [ ] one to three years
   - [x] three to five years
   - [ ] five to seven years
   - [x] more than seven years

2. **Indicate your supervisory level:**
   - [ ] top level management
   - [ ] mid-level management (supervise other supervisors)
   - [ ] first level management (supervise line or direct service staff)

For the next two questions, please check all that apply. Also, for each challenge or training need you check, please indicate a level of importance. Indicate “1” for the most important, “2” for moderately important, or “3” for not very important.

3. **Check all the challenges you face as a supervisor:**
   
<table>
<thead>
<tr>
<th>Challenge</th>
<th>Rank</th>
<th>Challenge</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>problem-solving</td>
<td></td>
<td>defining objectives</td>
<td></td>
</tr>
<tr>
<td>interruptions</td>
<td></td>
<td>monitoring work performance</td>
<td></td>
</tr>
<tr>
<td>performance appraisals</td>
<td></td>
<td>personal time management</td>
<td></td>
</tr>
<tr>
<td>coaching staff</td>
<td></td>
<td>writing reports</td>
<td></td>
</tr>
<tr>
<td>corrective discipline</td>
<td></td>
<td>delegating to staff</td>
<td></td>
</tr>
<tr>
<td>follow-up with staff</td>
<td></td>
<td>communicating clearly</td>
<td></td>
</tr>
<tr>
<td>defining expectations</td>
<td></td>
<td>gathering input from staff</td>
<td></td>
</tr>
<tr>
<td>multiple priorities</td>
<td></td>
<td>documenting performance issues</td>
<td></td>
</tr>
<tr>
<td>terminating an employee</td>
<td></td>
<td>building trust with staff</td>
<td></td>
</tr>
</tbody>
</table>

Other:

4. **Check your top training needs:**

<table>
<thead>
<tr>
<th>Training Need</th>
<th>Rank</th>
</tr>
</thead>
<tbody>
<tr>
<td>how to coach my staff</td>
<td></td>
</tr>
<tr>
<td>the agenda for a supervisory meeting with a staff member</td>
<td></td>
</tr>
<tr>
<td>how to follow-up on tasks or delegation</td>
<td></td>
</tr>
<tr>
<td>managing my own time</td>
<td></td>
</tr>
<tr>
<td>developing a plan for problem solving</td>
<td></td>
</tr>
<tr>
<td>conducting performance appraisals</td>
<td></td>
</tr>
<tr>
<td>having staff discussions about corrective issues</td>
<td></td>
</tr>
<tr>
<td>controlling interruptions</td>
<td></td>
</tr>
<tr>
<td>setting goals and defining objectives</td>
<td></td>
</tr>
<tr>
<td>clarifying expectations with supervisees</td>
<td></td>
</tr>
<tr>
<td>developing performance improvement plans</td>
<td></td>
</tr>
<tr>
<td>documenting performance issues</td>
<td></td>
</tr>
<tr>
<td>organizing work space and work flow</td>
<td></td>
</tr>
</tbody>
</table>

Other: _____________________________________________________________________

(Over)
The following questions are used for statistical purposes only.

5. Please indicate your gender.
   □ Male □ Female

6. Please indicate your educational level.
   □ High School Education □ Some College or A.A.S. degree □ B.S. or B.A. Degree
   □ Some graduate level courses □ Graduate level degree

7. How many years have you worked for the YWCA?
   □ less than one year □ one to three years □ three to five years
   □ five to seven years □ more than seven years

8. Have you always worked in non-profit organizations?
   □ yes □ no

If no, please indicate in what other industry (industries) you have worked?

Thank you for taking the time to complete this survey.
Please return the completed survey in the enclosed self-addressed envelope.
Supervisors' Training Needs Assessment Results

The following pages provide the compilation of the Supervisors' Training Needs Assessment Results. These findings are summarized in Chapter Four: Project Results.
<table>
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**Level of Importance**

- Very very important: 10
- Very important: 7
- Important: 4
- Mod. Importance: 9
- Not very important: 6

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**Challenges Faced as Supervisor**

**Very important**

- Terminating an Employee: 10
- Defining Objectives: 10

**Very important**

- Terminating an Employee: 8
- Defining Objectives: 10

**Important**

- Terminating an Employee: 5
- Defining Objectives: 9

**Mod. Importance**

- Terminating an Employee: 7
- Defining Objectives: 13

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**Very very important**

- Terminating an Employee: 15
- Defining Objectives: 9

**Very important**

- Terminating an Employee: 9
- Defining Objectives: 14

**Important**

- Terminating an Employee: 6
- Defining Objectives: 11
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Very important: 1 Very important: 2 Mod. Importance: 3 Not very important: 4
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- Top Training Needs
- Supervisory Training Needs
Appendix Six

Staff Recruitment and Hiring Training

Based on the Supervisors' Needs Assessment Results and the desires of the YWCA Personnel Committee, the first training session topic was determined to be Staff Recruitment and Hiring. This session was conducted with the supervisors. A copy of the training handouts follows on the next several pages.
YWCA Recruitment and Hiring Training

Policy and Procedures Review

- Development or Revision of Job Standards and Job Description
- Complete HR Request for Hire Form and give to the HR Administrative Coordinator
- Internal postings of five days are required
- Consideration given to qualified employees via transfer
- HR Administrative Coordinator will collect and screen resumes and give them to the supervisor for review
- Then the supervisor either sets up interview personally or asks the HR Administrative Coordinator to do so
- The Interview Must/Want Matrix Worksheet should be prepared
- An interview schedule is given to the receptionist
- Each interviewee is to be treated equally
- The hiring process should be described to all applicants
- Gear first interviews toward discovering information about the applicant and telling the applicant about the agency
- Ensure that interview questions are appropriate and legal
- Complete the interview Must/Want Matrix Worksheet
- Plan to conduct second interviews with the top three candidates
- Include other program staff and/or the AED in the second interview
- Obtain permission for references to be checked and complete any testing required during the second interview
- Once a decision has been reached, the New Hire Information Form is to be completed and submitted to the AED for approval
- The HR Administrative Coordinator will compose the hire letter for signature, which will be mailed with two copies of the job description
- HR will prepare a personnel file for the new hire
- The HR Administrative Coordinator will schedule the new hire orientation on or before the new employee’s first day of work
- The supervisor will ensure that the new hire’s work space is prepared for the first day of work
Some Facts about Hiring
1. Turnover costs money -- up to 500 times the employees hourly wage
2. Most employee problems are related to hiring the wrong people for the job
3. Seven steps for hiring success
   1. Determine exactly what you need
   2. Advertise for quality applicants
   3. Telephone pre-screening
   4. Interviewing
   5. Realistic job previews
   6. Reference checking
   7. Testing

Hire More Effectively

Set the right stage
- Put the candidate at ease
- Be friendly
- Show you’ve done your homework

Ask probing questions
- The interviewer’s task is to discover how the pieces fit together
- Questions need to probe beneath the initial response to the reasons underlying it
- Discover the elements of the candidate’s past performance that can relate directly to their ability to perform in your environment
- Avoid hypothetical situations
- Focus on real-world examples
- Spur the candidate to think
- Sample questions
  1. What professional achievement in your current job gave you the most personal satisfaction?
  2. What project/problem would you handle differently? Why?
  3. Can you describe how a major project was developed, the role you played and how the results were evaluated?
  4. Will you elaborate on how you solved__________ problem your department faced since it’s similar to the kind of problem we encounter here?
Think Critically

- Don’t spend more time talking than the interviewee
- Don’t use a “gut” reaction to make your decision
- Don’t hire in your own image
- Before you interview:
  - Outline the skills, knowledge and special characteristics needed to perform effectively
  - Examine the scope of the skills needed to meet the job demands
  - Be cautious to include all skills areas in your analysis of the job
  - Develop a candidate profile –
    - The five most important job duties
    - The minimum levels of skills and ability needed to perform effectively
  - Consider the organization’s personality
  - Advertise effectively
    - Consider all sources
    - Design ads to appeal to candidates
    - Consider suburban papers -- they are sometimes more cost effective
- Develop a standard set of interview questions
  - Use the same set of questions for each candidate
  - Prior to the interview determine the best and worst answer to each question
  - Establish points for each question response
  - Prepare interview questions sheets
- Consider telephone pre-screening
  - Ask basic interview questions – who, what, where, why, how
  - Determine requisite qualifications
  - Make a decision whether or not to interview
- Steps to a successful interview
  - Prepare for the interview
  - Prepare the applicant for the interview
  - Encourage the applicant to open up and talk
  - Control the interview
  - Close the interview
  - Avoid common mistakes
    - Explaining the job before completing the applicant interview
    - Making too many or not enough notes
    - Asking closed versus open questions
- Ensure you don’t trust your memory
  - Take good notes
  - Prepare a summary of each interview
  - Rate the question responses based on your pre-determined responses
  - Note any “Memory joggers” to help them remember the candidate
  - Evaluate the individuals and rank the candidates
Handling Problem Applicants

1. The Professional Interviewer
2. The Motor Mouth
3. The Perfect Candidate
4. The Politician
5. The Questioner

Reference checking tips

Three key questions:
1. Can you tell me in measurable terms the biggest impact this person made on the organization?
2. On a scale of one to ten, how would you rate this person's performance – what would it have taken for him/her to become a ten?
3. What did this person do above and beyond the basic needs of the job?