



▶ Participant Material

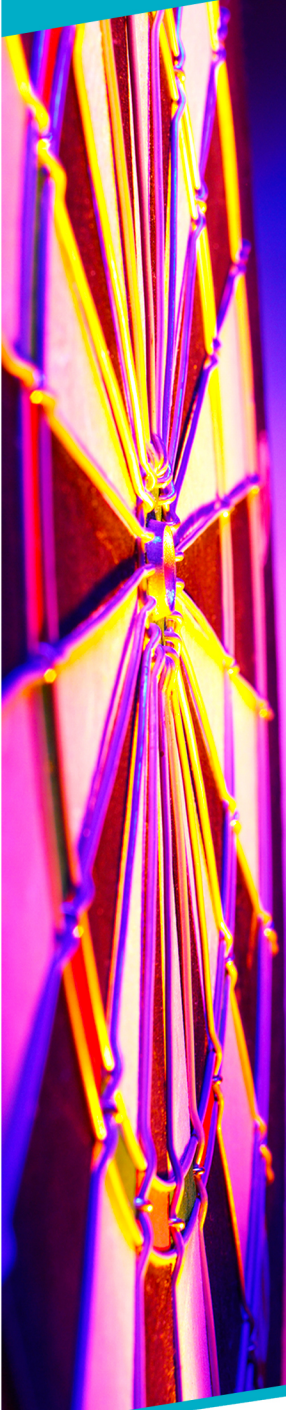
Your Rights to Using This Material

This document and any attached materials are the sole property of DDI, and are not to be used by you other than as part of your DDI development experience.

This document and any attached materials are not to be disseminated, distributed, or otherwise conveyed to any other person or entity without the express written permission of DDI.

▶ Setting Goals and Reviewing Results

Resource Kit



► Setting Goals and Reviewing Results Resource Kit

Table of Contents

Roles and Responsibilities Checklists	1
Making Performance goals SMART	2
Criteria for Well-Written Goals.....	2
Tips for Writing SMART Goals	2
Formula for Writing SMART Goals.....	3
Setting Goals and Reviewing Results Discussion Planner (for leaders)	4
Discussion Outline (for direct reports)	6
STAR Feedback.....	7
STAR Form	8
Tips for Gathering Data and Providing Feedback (for leaders)	9
Tips for Gathering and Sharing Data (for direct reports).....	10
Tips for Tracking Progress.....	11
Performance Planning Worksheet	12

Each page in this kit is designed to be shared with direct reports except resources intended only for leaders or direct reports as indicated in the table of contents above.

Roles and Responsibilities Checklists

These checklists will help you and your direct report prepare for and conduct effective performance discussions. Review the items at least one to two weeks before your scheduled meeting. If either person is unprepared for the discussion, you might want to reschedule.

Leader's Responsibilities

- Confirm the date, time, and place of the discussion.
- Complete a Discussion Planner to plan how you will use the Interaction EssentialsSM.
- Give the Discussion Outline to the direct report to use for the discussion.

Setting Goals Discussion

- With the direct report, set performance goals that are SMART—Specific, Measurable, Attainable, Relevant, and Time bound.
- Check to ensure the goals align with team and organizational goals.

Reviewing Results Discussion

- Coach the direct report on where to find performance data.
- Request an advance copy of the direct report's performance plan to review.
- Review collected data (STARS, reports) and identify performance trends.
- Collect additional data as needed to obtain a clear picture of progress to date.
- Provide coaching and balanced feedback on progress or results.
- If appropriate, determine a rating for each of your direct report's goals.

Direct Report's Responsibilities

- Take notes on a Discussion Outline to prepare for your discussion, and then use it to help you lead the discussion.
- Clarify any questions you might have regarding what your leader expects before and during the meeting.

Setting Goals Discussion

- Have your performance plan with proposed tentative goals ready in advance.
- With your leader, set performance goals that are SMART—Specific, Measurable, Attainable, Relevant, and Time bound.

Reviewing Results Discussion

- Collect and share any additional performance data that you want your leader to see before the discussion, including data that supports progress made.
- Have your performance plan ready in advance so that you can be better prepared to discuss progress and results. Also, your leader might request an advance copy.
- Review the performance data that was gathered through agreed-on tracking methods.
- If appropriate, determine a rating for each of your goals.

SMART stands for:

- **S**pecific—defines specific results to be achieved.
- **M**easurable—defines quantity, cost, or quality metrics to determine progress.
- **A**ttainable—allows the goal to be challenging, yet the person can still ensure results.
- **R**elevant—supports the achievement of team or organizational goals.
- **T**ime bound—specifies a due date, time frame, or frequency rate.

Making Performance Goals SMART

Criteria for Well-Written Goals

For a performance goal to be well written and effective, it needs to meet certain criteria. The acronym SMART is a good way to outline this criteria.

► Tips for Writing SMART Goals

- Start each goal with an action verb (for example, Increase, Complete, Attain).
- Define quantity, cost, timeliness, and/or quality as well as any due dates or time frames.
- Avoid writing “all or nothing” goals. For example, “Train everyone in the department on the new software system by the end of the third quarter” is a goal that’s either met or it’s not. Instead, provide flexibility to make the goal more attainable, such as a range: “Train 95–100 percent of the department . . .”
- Don’t mistake tasks or activities for performance goals. For example, “Poll service representatives to find out if they are seeing certain trends in product usage” is an activity that may be one of many tasks to be completed to achieve a performance goal.
- Make sure each goal is observable. The results of the direct report’s efforts need to be evident to you and others who will provide feedback on performance.
- Limit the number of goals to between one and three for each major output of the job to make the overall performance plan realistic. You always can add or modify as needed.
- Ask the direct report: Does this goal benefit you, our team, and the organization? If not, consider rewriting it.

Formula for Writing SMART Goals

You and your direct reports can use this three-part formula to write performance goals that meet the SMART criteria.

Start with an action verb, such as:

- Increase . . .
- Complete . . .
- Attain . . .
- Achieve . . .
- Reduce . . .

action verb



Include a measurement, such as:

- How much
- How many
- How much better
- How much faster
- Costing how much less

Measurement



Include a due date, time frame, or frequency rate, such as:

- Phase 1 by end of second quarter
- End of fiscal year
- Daily
- Weekly
- As scheduled

due date



Examples

Decrease shipping errors by **3–5 percent** by the **end of the third quarter**.

Achieve an **average minimum rating of 3 on a 5-point scale** in **each quarterly** customer satisfaction audit.

Reduce patient wait time to **20 minutes** by the **end of the fiscal year**.

Discussion Planner

Discussion with: _____ Date: _____

Topic/Issue to discuss: _____

► Key Principles (to meet personal needs)

- **Esteem**
 - Be specific and sincere
 - Express confidence and recognize efforts
- **Empathy**
 - Describe facts and feelings
 - Acknowledge progress and results
- **Involvement**
 - Unleash ideas with questions
 - Seek input on goals/progress
- **Share**
 - Disclose feelings and insights to build trust
 - Share rationale for goals/data
- **Support**
 - Specify the level of support you'll provide
 - Provide ongoing feedback and coaching

My Approach

What challenges am I expecting during this discussion? How will I address them?

► Interaction Guidelines (to meet practical needs)

Time

1. OPEN

- Describe purpose of discussion
- Identify importance

- Make procedural suggestions
- Check for understanding

Setting Goals What will I say to begin the discussion and encourage the direct report to lead it? Which Key Principles will I use?

Reviewing Results What will I say to begin the discussion and encourage the direct report to lead it? Which Key Principles will I use?

Time

2. CLARIFY

- Seek and share information about the situation
- Seek issues and concerns

- Make procedural suggestions
- Check for understanding

Setting Goals What will I say to seek the direct report's perspective on the goals? Which Key Principles will I use when discussing concerns?

Reviewing Results How will I encourage the direct report to be the first to share performance data/outcomes? What data will I share?

► Setting Goals and Reviewing Results

Time

3. DEVELOP

- Seek and discuss ideas
- Explore needed resources/support

Setting Goals *What will I say to encourage discussion of each goal as well as how to track it? What resources or support will I recommend/offer?*

- Make procedural suggestions
- Check for understanding

Reviewing Results *How will I encourage the person to share ideas for achieving results? What additional resources or support will I recommend/offer to sustain or accelerate progress?*

Time

4. AGREE

- Specify actions, including contingency plans
- Confirm how to track progress and measure results

Setting Goals *How will I ensure the direct report understands and agrees on each goal? What will I say to confirm tracking methods?*

- Make procedural suggestions
- Check for understanding

Reviewing Results *What will I say to help reach agreement on the level of performance? What will I say or do to confirm we agree?*

Time

5. CLOSE

- Highlight important features of plan
- Confirm confidence and commitment

Setting Goals *Which Key Principles will I use to confirm the person's confidence and commitment? What date will I recommend for reviewing results?*

- Make procedural suggestions
- Check for understanding

Reviewing Results *What will I say to highlight the person's accomplishments? What follow-up is necessary?*

► Post-Discussion Notes

- What did I say or do to use the skills effectively?

- What could I say or do to use the skills effectively next time?

Discussion Outline (for direct reports)

1. OPEN

○ Check for understanding

The purpose and importance of the discussion are clearly stated.

Setting Goals *What expectations do I have for this discussion?*

Reviewing Results *What expectations do I have for this discussion?*

2. CLARIFY

○ Check for understanding

Relevant information, issues, and concerns are gathered.

Setting Goals *What will I say to share my perspective on the goals and any concerns I might have?*

Reviewing Results *What performance data will I share? What concerns do I have that need to be addressed?*

3. DEVELOP

○ Check for understanding

Ideas for achieving goals/results are discussed.

Setting Goals *What resources/support might I need to reach my goals? How will I track my progress?*

Reviewing Results *What ideas will I suggest for achieving results? What additional resources/support do I need?*

4. AGREE

○ Check for understanding

A plan is agreed upon for achieving the goals/results.

Setting Goals *What concerns do I have about agreeing to the goals?*

Reviewing Results *How will I ensure my leader and I have the same understanding of my results?*

5. CLOSE

○ Check for understanding

A final check is made so that everyone is clear on agreements.

Setting Goals *What will I say to express my confidence and commitment to achieving the agreed-upon goals?*

Reviewing Results *What will I say to express my continued commitment to achieving the goals?*

STAR Feedback

An easy way to compose or gather complete, specific feedback on performance is to use the acronym STAR. The components of STAR remind you and others to describe the **Situation or Task**, **Action**, and **Result**.

The STAR format can be used for **positive feedback**, which specifies what was done well, and **developmental feedback**, which describes a more effective approach.

STAR (positive feedback)



- **ST—*Situation or Task***. What was the problem, business opportunity, challenge, or task?
- **A—*Action***. What was said or done to handle or respond to the situation or task?
- **R—*Result***. What happened, for better or worse, because of the person's actions, and what was the impact or consequences of that result?

STAR/AR (developmental feedback)

For developmental feedback, the STAR format also provides:

- An **Alternative** action—something that could have been said or done differently.
- The enhanced **Result** that the alternative action might have produced.





A STAR for...

Name:

Date:

Situation or Task

Action

Result

Alternative Action

Enhanced Result

Recorded by:

CC:

Tips for Gathering Data and Providing Feedback (for leaders)

This list provides ideas for gathering reliable performance data and providing ongoing feedback.

Data from Direct Reports

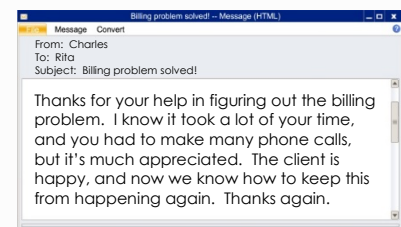
- **Gather operational data.** Use resources such as calendars, project timelines and milestones, reports, charts, and feedback surveys to track direct reports' progress on goals.
- **Distribute STAR forms to direct reports.** Ask them to give these forms to others to fill out on their performance and also to write specific feedback about themselves.
- **Discuss STARs right away.** Talk about STARs soon after your direct reports submit them to you. Also, write STARs yourself as a way to track their progress.
- **Make it acceptable to report less-than-effective results.** People will be more willing to share setbacks when they know you'll provide feedback and coaching to help them improve.
- **Designate specific time to share progress and results.** Take time during routine meetings for people to report successes and developmental areas.

Direct Observation

- **Share STARs as soon as possible** after observing performance.
- **Capture specifics.** Describe a person's actions and results in precise, measurable terms. For STAR/ARs, seek an appropriate alternative action and result before suggesting your own.
- **Provide balanced feedback.** Point out examples of both strong performance and areas for development. Even with developmental feedback, you might find positive efforts to discuss.

Documents and Messages

- **Save emails, reports, and social media messages.** Ask direct reports to gather items documenting their performance and provide you with copies. If you need more specifics, ask. The email at right can be placed in a direct report's file.



Third-Party Comments

- **Gather comments and feedback from a wide range of people.** Encourage your direct reports to reach out to coworkers, customers, and internal partners for feedback.
- **Ask for suggestions for development,** not just praise reports of what went well.
- **Clarify STAR feedback.** For instance, if a person supplies only the Situation/Task and Action, ask for the Result.

Tips for Gathering Data and Providing Feedback (for direct reports)

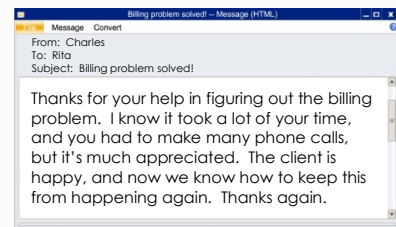
This list provides ideas for gathering reliable data on your performance to share with your leader.

Self-Reports

- **Gather operational data.** Use resources such as calendars, project timelines and milestones, reports, charts, and feedback surveys to track progress on your goals.
- **Write your own STARs.** Use the STAR form to write STARs on your own performance as soon as you complete a task, assignment, or project or right after an event.
- **Record balanced feedback—both positive and developmental.** Be prepared to share what you did well and what you could do differently and why it would be more effective.
- **Share all STARs with your leader right away.** Discuss what's going well and where you need additional feedback and coaching.

Documents and Messages

- **Use STAR forms to collect specific, behavioral feedback.** The STAR format will ensure that the feedback you receive from others is specific and effective. Make sure to ask for both positive and developmental feedback.
- **Save emails, reports, and social media messages.** Gather items documenting your performance as soon as possible. If you need more specifics, ask. The email at right is a good example of the type of data you'll want to save for your performance file.



Third-Party Comments

- **Gather comments and feedback from a wide range of people.** Reach out to coworkers, customers, and internal partners for feedback, not just the members of your immediate team.
- **Ask for suggestions for development,** not just a praise report of what you did well.

Tips for Tracking Progress

Tracking progress on an ongoing basis helps you to determine whether goals are being achieved. Use these guidelines for identifying tracking methods.

- **Find a method that's accurate and easy.** For a tracking method to be effective, it should easily provide the important information you need to assess progress. Avoid methods that are cumbersome and time consuming.
- **Use the tracking methods you already have or adapt them to fit your needs.** Create new methods only when there aren't any or if existing ones don't provide needed data.
- **Track progress as often as needed.** For example:
 - A team might want to track progress more often early in a new project instead of later, when trends are more predictable.
 - New hires who are unsure of their performance might want to track progress very closely, especially while learning the job.
 - An experienced person in a familiar role might feel comfortable with minimal checks.
- **Ask yourself if the tracking method is worth using.** You need to be comfortable with the method and determine whether the information it will yield is worth the effort in gathering it.
- **Establish checkpoints.** Set interim milestones along the way to check progress at significant points. This makes the overall goal seem more achievable and provides timely opportunities to discuss needed adjustments.

▶ Types of Data

Behavioral data (how the goals are being accomplished). Gather STARs and STAR/ARs.

Operational data (indicates progress on *what* achievements are expected). Use tracking methods such as calendars, project timelines and milestones, reports, charts, and feedback surveys.

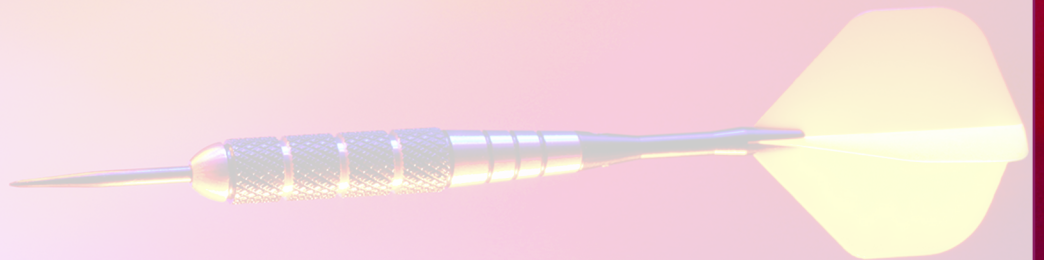
Performance Planning Worksheet

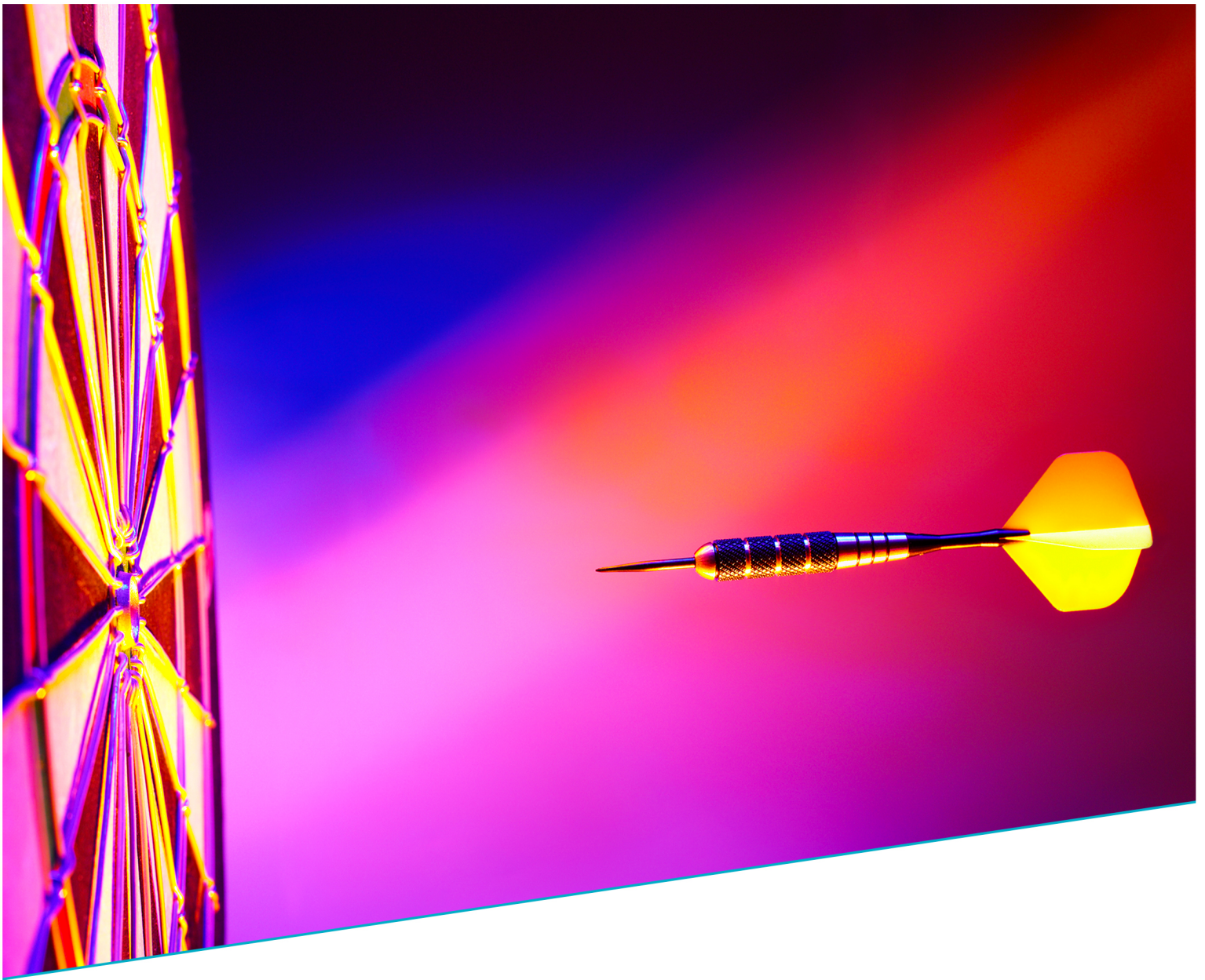
Name: _____ Job/Role: _____

Goals	Tracking Methods	Results	Comments
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Permission is granted to reproduce this document for internal use only.

Notes





Learn more about DDI by visiting www.ddiworld.com

© Development Dimensions International, Inc., 2013. Revised 2020. All rights reserved. This publication is printed entirely on paper from certified sustainable resources and is part of our larger commitment to environmental, corporate, and social sustainability.

► **Setting Goals and Reviewing Results**

Part Number: EXLSGRRRKV3-0

File Name: AE-EXL-SGRR-RK-V3-0



MR7W