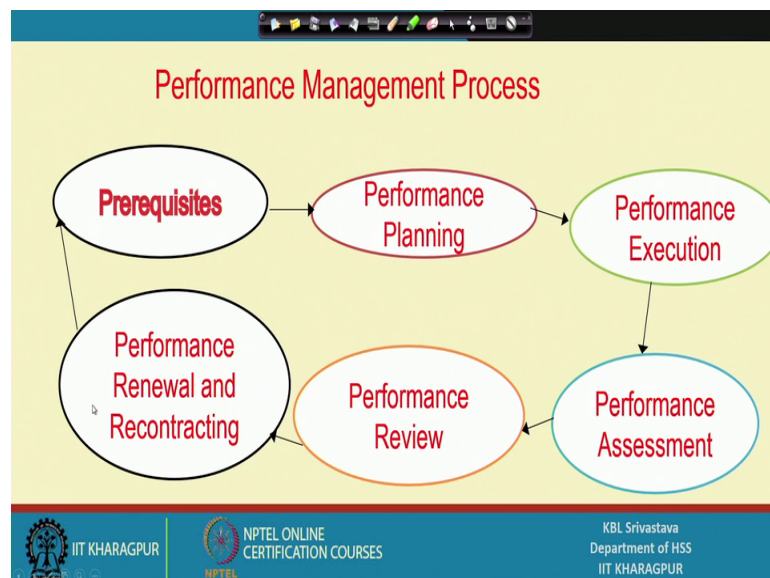


Strategic Performance Management
Prof. K. B. L. Srivastava
Department of Humanities and Social Sciences
Indian Institute of Technology, Kharagpur

Lecture – 04
Performance Management Process

So, very good afternoon. Now we are going to continue our discussion in third lecture, we have seen that how we can develop a good performance management system and what are its characteristics. Now in this lecture, basically we are going to talk about performance management process that how do we go about it when it comes to managing performance. Now here what you are going to discuss is that how we are going to manage the performance of the individual group or the organization, but main focus here is on individual performance.

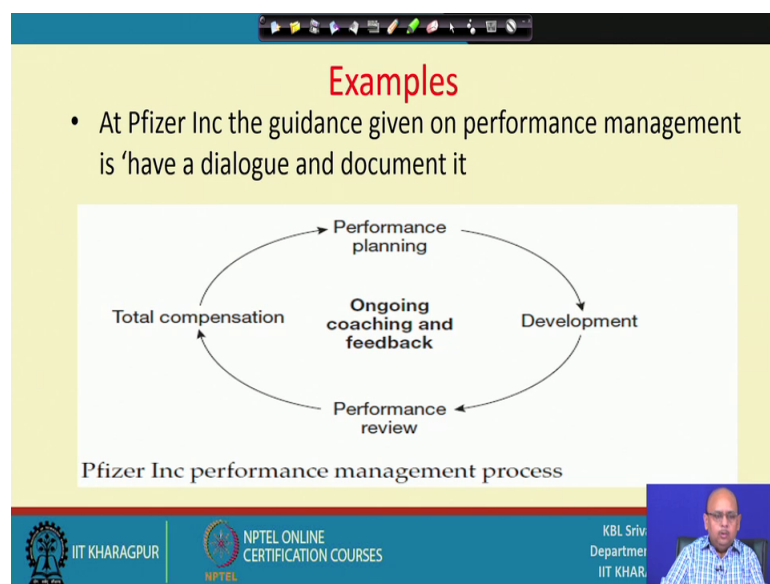
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Now, if you look at this we are going to start with the first stage that is called prerequisites and then we have to see that what are the things that is required to start with and then we move to the planning stage then execution, then we are going to access after accessing, we are going for review and then we see that based on this review what; what is to be done whether you are going to review with the same performance or we are going to re contract it.

Means that whether you are going to change anything so far as targets and other things are concerned now based on this, then again we move to the first stage that is prerequisites prerequisite you see it this is a kept in bold the idea here is that this is the most important thing in the process, this is the first stage and then we move to planning execution assessment and other stages, right. So, what you are going to discuss is that at what are the different stages and at each stage what is the requirement. So, we will take up one by one each of these stages or the processes and will discuss them.

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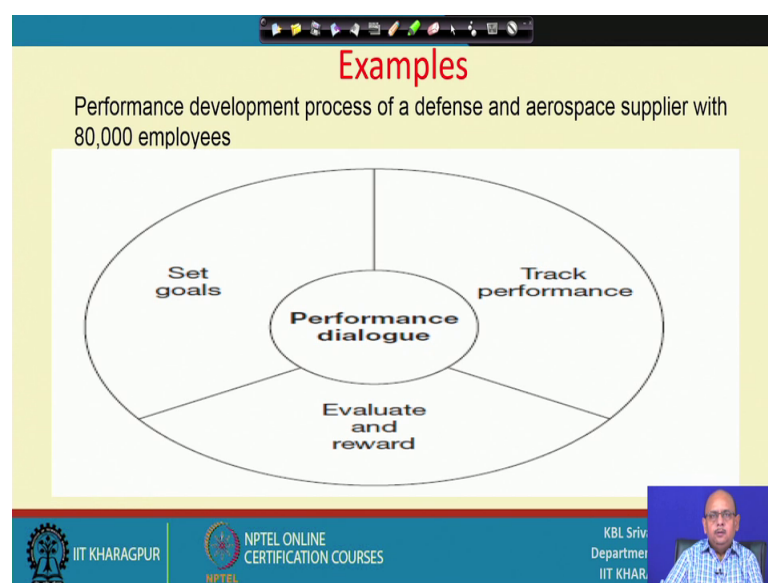


So, we start with the first stage that is what we call the process right now before we start discussing about it, I am giving you some examples right like Pfizer is a pharmaceutical organization and if you look at this example, it talks about the performance management process of this organization now if you look at this performance management process of this company where it starts with what they have a performance plan which is related to development then moving to review and this based on this review they are going to decide about the compensation.

Now, if you look at in the middle you will find coaching and feedback it means that on a regular basis feedback and coaching is provided at each and every stage why I am giving this example to explain you that how this process works. So, before you go for performance planning you are going to decide about certain things then there also you

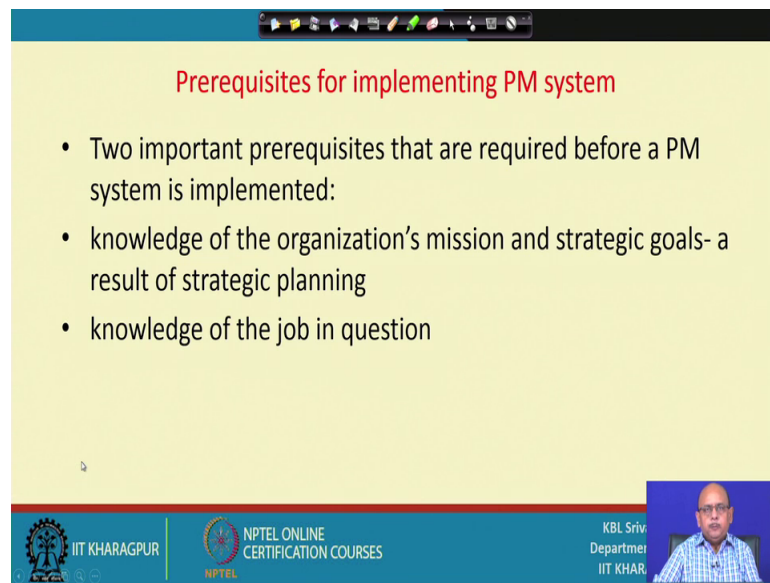
have to provide feedback, then how this performance planning is being developed and implemented by the organization, what I am talking about that how we are going to have a good performance management system that you are going to develop and then based on that you are developing certain standards for evaluation implementing that and once it is implemented, you are going to review the performance and based on that you are going to compensate people, it means that performance is also linked with reward and you also have a system in built system or providing feedback at each and every stage.

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This is another example; this is a government organization a defense and aerospace supplier now if you look at this is a big organization now if you look at this, they are 3 things that they do what they do to start with first of all that set the goals because these goals are going to be used as a criteria then based on that when the system is implemented they monitor the performance on a regular basis and the goals are also used to evaluate the performance and the evaluation is linked with the reward. Now why I am giving you this example just to explain that how we go about the performance development process or performance management process, this is more specifically related to that how we go about developing the performance management system.

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Prerequisites for implementing PM system

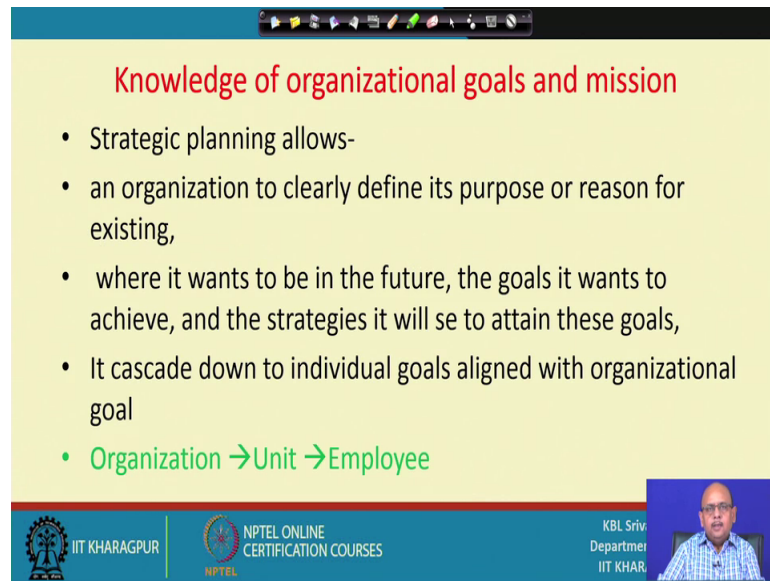
- Two important prerequisites that are required before a PM system is implemented:
- knowledge of the organization's mission and strategic goals- a result of strategic planning
- knowledge of the job in question

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Now, moving to the first stage you remember you said that we there are certain prerequisites before we move to discuss about a performance management system and these two requisites pre prerequisites include that when they to stakeholders or line managers or hr managers or top managements who so ever is involved in implementing a good and effective management system I mean a performance management system, they should have a good knowledge of the organization mission goals and objectives and they also have good knowledge of the job.

So, for first you have to see you have to know about the strategies goals and objectives of the organization and for the second part you have to go for a thorough job analysis looking into job description because that is going to provide a basis for identifying task and duties.

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Knowledge of organizational goals and mission

- Strategic planning allows-
- an organization to clearly define its purpose or reason for existing,
- where it wants to be in the future, the goals it wants to achieve, and the strategies it will use to attain these goals,
- It cascade down to individual goals aligned with organizational goal
- Organization → Unit → Employee

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Now, the first thing is knowledge of organizational goals and mission here you are a part of the strategic planning process because when I am talking about performance management it has an a strategic role in contributing to the performance of the people group and the organization now if you are considering performance management system as a good plan for yourself. So, you need to develop a strategies that how to device a good and effective performance appraisal system.

Now, in order to have a good performance management system, what you need to do is that you have to see that what are your strategy for planning of the performance and you know that before we go about a strategy you have to deb decide about what is your vision what is your mission what are the goals and objectives that you want to achieve, right because in a strategic planning, basically you decide about what would be your strategy to achieve the goals and objectives of the organization, but before that you must clear your vision and mission; mission that is you need to identify the purpose or agent for existence right what for this organization is for example, suppose if I am talking about IIT, Kharagpur.

So, we can say yes the objective or the you can say the purpose or the reason for existing of IIT, Kharagpur is to provide best quality people in the field of engineering and science suppose we say it means that the idea here is to tell or communicate that what is the

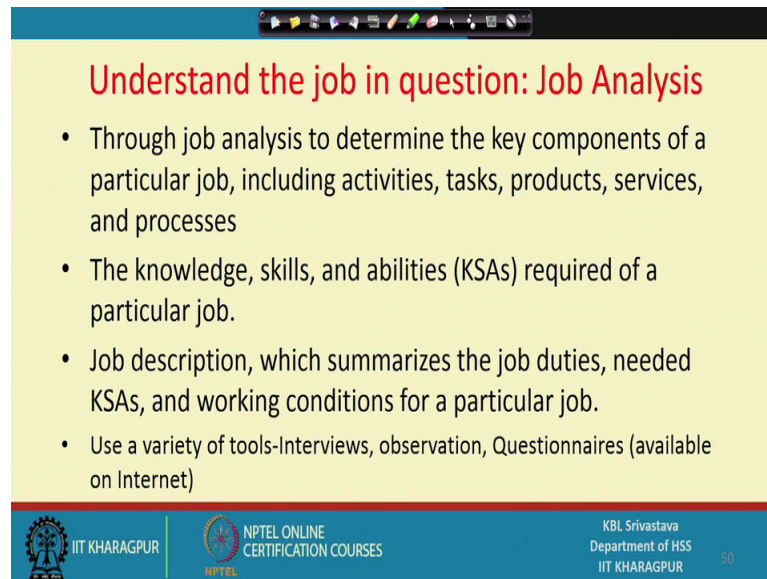
purpose of this organization.

Now, now another thing that is related to it that what is its result, where it wants to be in future suppose I say that yes IIT, Kharagpur is in the top 500 organization or technical institutions in the world now from 500 you want to move to say 200. So, within 200, this is the goals that you want to achieve now in order to achieve this goals you are going to have certain strategies. So, that you are able to it achieve it now if you want to have this kind of goal at the top level then you have to see that this becomes your organizational goal now this organizational goal is for further percolates down or cascade down to the units of the department goal.

Where you are going to identify yes this is the goal of the unit or the department and then these unit or department goals are further percolated down at the individual level where you are going to going to decide about the individuals and then you have to see that it is aligned it means the individuals are going to contribute to the department or units and the units or departments are going to contribute to the organizational goals.

So, this kind of alignment is very very important and that is why we call it a strategic alignment they must be congruent and aligned with each other. So, that everybody is going to contribute at their level to contribute to the growth and development of the organization right. So, it is very very important that those stakeholders who are involved in the process of devising a good management system performance management system they know about it.

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Understand the job in question: Job Analysis

- Through job analysis to determine the key components of a particular job, including activities, tasks, products, services, and processes
- The knowledge, skills, and abilities (KSAs) required of a particular job.
- Job description, which summarizes the job duties, needed KSAs, and working conditions for a particular job.
- Use a variety of tools-Interviews, observation, Questionnaires (available on Internet)

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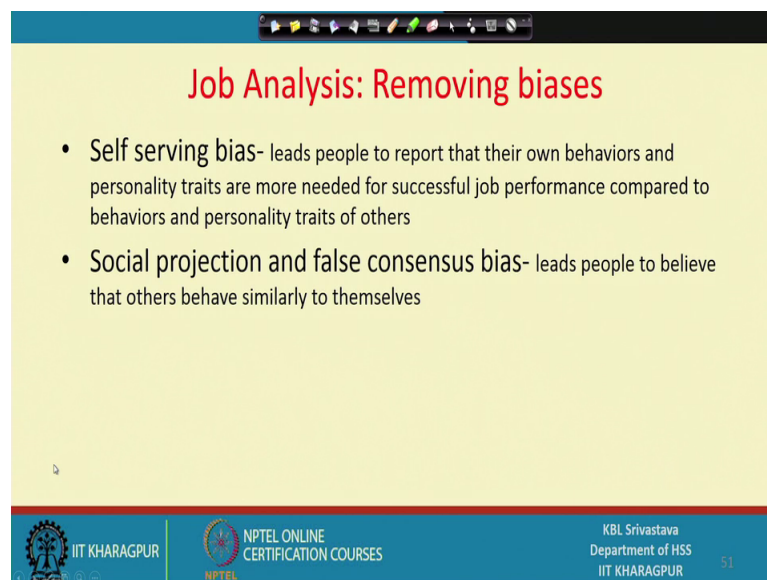
Another important issue is that yes they also understand the job which is done through job analysis now when I am talking about job analysis it has two contents that is job description job specification right. So, when I am talking about job; this description specifically we are referring to what tasks duties responsibilities which a person is supposed to have in a given job right that is job description similarly in order to perform these tasks duties and responsibilities he need to have certain knowledge and skill. So, that is known as case say the knowledge skills and abilities that is required to perform the particular job now job description and job specification both are important.

So, when you are going to design a performance management system this provide you a input or a you can say tool for identifying what is that you are going to measure in terms of performance because you are going to perform a job. So, you will be evaluated on the basis of what you do and what you do comes from job analysis that is job description and job specification and in order to see that what a person does you are going to observe it or you are going for interviewing or using questionnaires to identify; what is the job description that is it tasks duties and responsibilities associated with the job similarly you also need to identify what is the basis of knowledge and skill which is required because you need to match the person with a job right for example, if I am going to teach a course on HR.

It means that I must have enough knowledge or have this skill and abilities to teach this course. So, if I am going to teach a course say performance management. So, that become a part of my duty and responsibility now in order to teach this performance management course it I should have an specialization in performance management broadly under the human resource management and then I must be experienced enough to teach this course, right.

So, you have matching both the job and the person to ensure that that the job is performed effectively and since this provides a input it is very very important to see that job description and job specification is carried out and not only this, but you also need to understand the environment in which this is to be carried out because the environment is acting as the enabler to perform well and in order to get data on this, you are using certain methods like interviews observations and other things so that, you can get information about the job and the person.

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Job Analysis: Removing biases

- **Self serving bias**- leads people to report that their own behaviors and personality traits are more needed for successful job performance compared to behaviors and personality traits of others
- **Social projection and false consensus bias**- leads people to believe that others behave similarly to themselves

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Now, when you are going to conduct job analysis you need to ensure that it is free from any kind of biases or errors. So, we need to remove certain biases in conducting job analysis for example, if I am going to am going to conduct a job analysis for a faculty we say we can say that these are the duties and responsibilities like duties include teaching doing research right taking up assignments consulting assignments right taking up projects

in addition to these duties and responsibilities he also has other things like administrative responsibility could be there it could be a professor in charge it could be a warden these kind of things right. So, which forms the part of the job description now in order to perform this you need certain key skill that is knowledge skills and attitude because that is going to help you to perform your job effectively now when you are going to conduct job analysis for a faculty.

So, what are the problems that may come up? So, these problems include self serving biases and. So, social projects and false consensus biases self what is self serving bias it means the if you are going to affected by these kind of biases then you are going to report basically your own behavior and personality traits right which is required for successful job right compared to the behavior and personality of others. So, basically you are going to propagate yourself more when you are going to conduct this analysis that should be avoided now you should also think about it that you are not going to ensure that people are similar to you because that is not possible. So, each people is different.

So, they are going to behave differently. So, this kinds of false consensus should not be there and you should not project it because social projection and false consensus bias basically talks about these things where people believe that others are similar to them while the fact is that it may not be true people may be different, even if people doing the same kind of job could be different what you are going to match here is not the traits and personality of the people, but you are going to ensure that those traits and personalities which are related with the performance right only that is to be covered. So, that you can remove the biases related to these factors.

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Providing a common frame to all raters

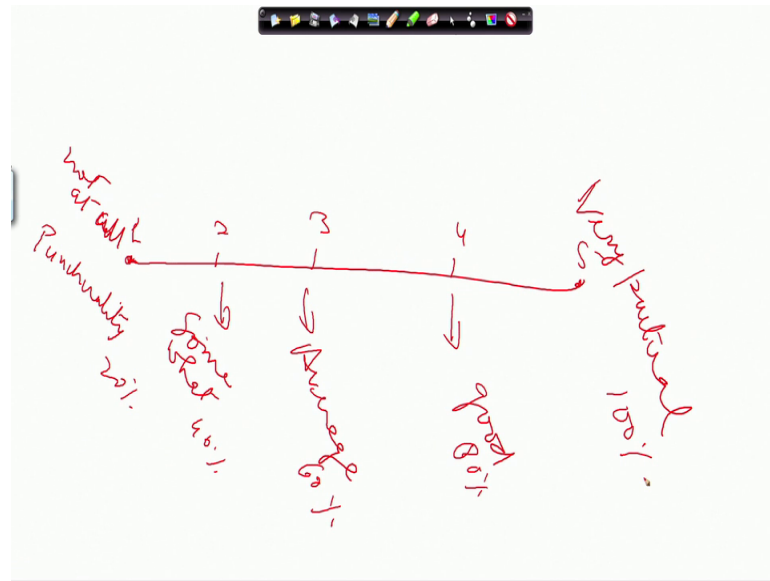
- provide raters with a definition of each rating dimension
- define the scale anchors
- describe what behaviors were indicative of each dimension
- allow raters to practice their rating skills, and
- provide feedback on the practice

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Now, when it comes to providing a common frame to all the raters means that those who are evaluating performance you should tell them that how you are going to evaluate the performance, the raters of performance especially supervisors.

They should know that how they are going to rate each dimension right I will give an example here say you want to evaluate the performance using certain rating skills say for example.

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If you are moving and you are going to have a rating scale which could be a five point scale starting with 1, 2, 3, 4 and 5; say particular dimension related to rating suppose you want to measure punctuality. So, this is going to say that how punctually you are starting with not at all right to very punctual. Now this is a rating.

So, you need to give certain points somewhat punctual you can write that here your average punctual yes more or less you are pa punctual level is standard good so far punctuality is concerned are here, you are 100 percent or you can also say like twenty percent forty percent sixty percent you for going for grading eighty percent or hundred percent punctual because if you are clearing all these dimensions, then it would be easy for raters to understand whether he is going to provide 1 point or 2 point or 3 point or whatever it is, but if you are not able to do it probably it is not possible for you to understand these kind of things ok.

So, it is very very important that raters understand that how the rating whose is to be done so that, they can go for these kind of things. So, you have to provide raters with each rating dimension that is very very important.

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Providing a common frame to all raters

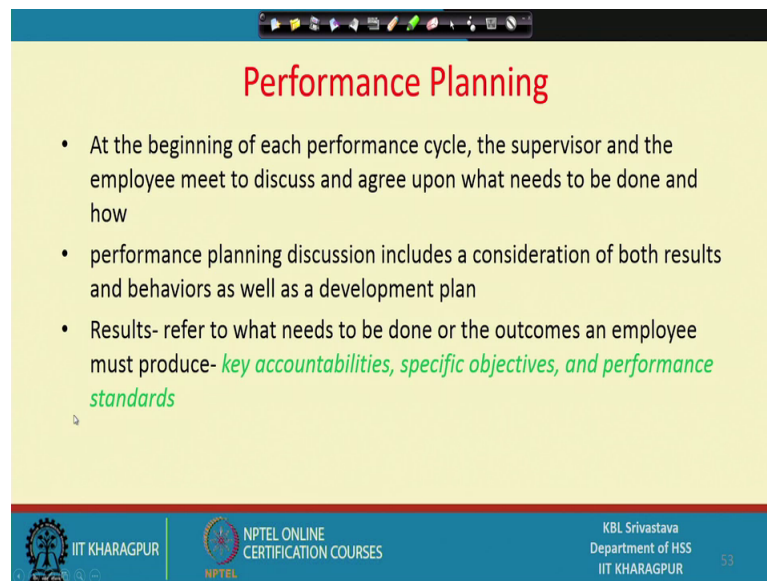
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And then also defined a scale rankers, but how it is going to start which dimensions is to be rated then you also describe behaviors which are indicative or which dimensions so far; example in the case that I have given the; I told you that if you say one it means your punctuality level is very less or 20 percent, if you say 4, it means that that on an average 80 percent punctuality is achieved by the person, right. Similarly if you take any dimension which is used for measuring performance you need to describe behaviors it means that you need to not only provide a level, but you also need a description for the level when it comes to rating and then raters should practice it before they actually start rating.

So, that they know what they are doing and then they can be given feedback and how the rating is whether they are accurate whether it is standard whether it is going to reliable and valid you remember we talked about these points related to effective performance management system. So, accuracy and accurate; accuracy and fairness is one such dimension which comes from raters. So, we need to ensure that raters are clear about it.

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The slide is titled "Performance Planning" in red text. It contains three bullet points: "At the beginning of each performance cycle, the supervisor and the employee meet to discuss and agree upon what needs to be done and how", "performance planning discussion includes a consideration of both results and behaviors as well as a development plan", and "Results- refer to what needs to be done or the outcomes an employee must produce- *key accountabilities, specific objectives, and performance standards*". The footer includes the IIT Kharagpur logo, NPTEL Online Certification Courses logo, and the name KBL Srivastava, Department of HSS, IIT Kharagpur, with the slide number 53.

Performance Planning

- At the beginning of each performance cycle, the supervisor and the employee meet to discuss and agree upon what needs to be done and how
- performance planning discussion includes a consideration of both results and behaviors as well as a development plan
- Results- refer to what needs to be done or the outcomes an employee must produce- *key accountabilities, specific objectives, and performance standards*

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Now, apart from that you also need to plan the performance right. So, after discussing these 2 prerequisites that is knowledge of the organization mission and strategies and knowledge of the job then we move to next stage that is performance planning and at this stage basically this is the first stage in performance cycle. So, you need to plan about the performance and here the line managers along with the supervisors or if you need you can also invite and include hr managers where they discuss the agenda what needs to be achieved right in terms of goals and objectives that is to be achieved and how it is to be achieved.

So, what is to be discussed in the beginning by the supervisors and the managers is a growing upon a particular goal and how it is to be achieved right for example, a sales manager plan about the performance of the sales force by inviting them and having a discussion about deciding this is the total sales output that is to be achieved and how it is going to be distributed across sales force and then what is individual need to achieved in terms of sales targets and how they are going to achieve this.

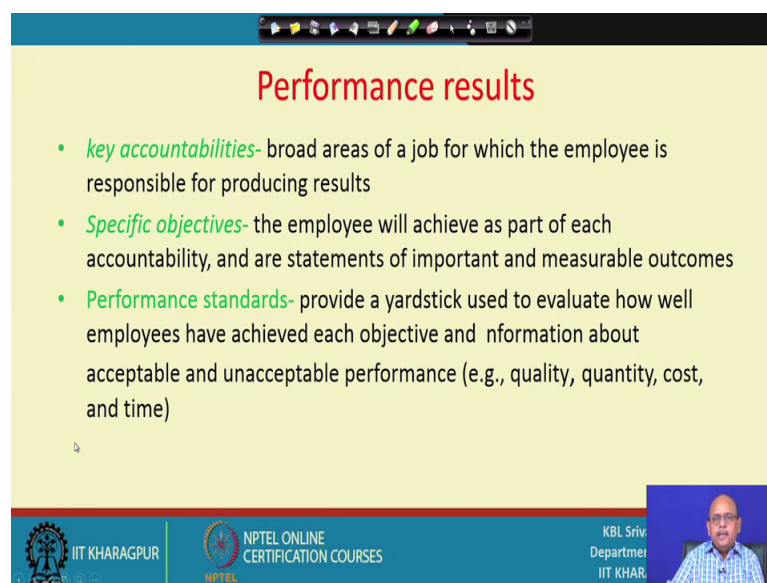
So, the discussion related to performance plan has to have consideration related to both the results and the behavior because you require certain targets sales target that comes under results and in order to achieve these sales target what kind of behavior would be required.

For example if you take the case of a sales people then what are the qualities that would be required in addition to achieving the goals and objectives that is you should have a good communication skill good interpersonal relationship you should be good in negotiation right you should be able to persuade people right only then, he would be able to achieve the targets right a frequently follow up everything that is going on.

So, these are the behaviors which is required in addition to the targets which has to be discussed these are the things that is that needs to be required for planning their performance right. So, when we are talking about the results that is the outcome for examples sales targets like key accountability a specific objectives and performance standards.

So, what you are going to discuss now that what comes under results that is key accountability a specific objectives and performance standards and then will talk about what comes under behaviors.

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Performance results

- **key accountabilities**- broad areas of a job for which the employee is responsible for producing results
- **Specific objectives**- the employee will achieve as part of each accountability, and are statements of important and measurable outcomes
- **Performance standards**- provide a yardstick used to evaluate how well employees have achieved each objective and information about acceptable and unacceptable performance (e.g., quality, quantity, cost, and time)

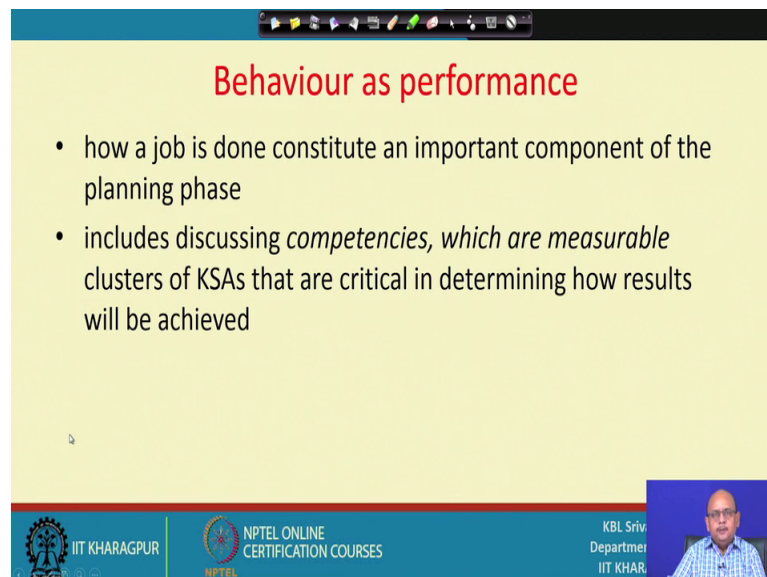
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So, to start with first will talk about performance results now key accountabilities include what that basically examines that what are the things you are responsible for in order to produce the results right when it comes to a specific objectives right you have to be very

very specific in terms of identifying what are the objectives as a part of the accountability which is important and measurable and then third part is standards, how you are going to evaluate it. So, you need to provide certain norms, for example, if you are able to achieve 60 percent of your target would you call it an average performance or standard performance or would you achieve eighty percent that is used as a yardstick to evaluate your sales target then you call it a performance standard. So, it means that you need to define the performance standard ok.

So, suppose you are able to sell x units of the product, then you are meeting performance standards. Now how well you have achieved these performances standards related to each objective and make sure that it is acceptable to the supervisors or line managers and this performance standard actually is measured in terms of what you call quantity, quality, cost time, it means that you have achieved within a given time frame to qualities standards are made the quantity of units that you are going to sell is there and it is cost effective, right. So, performance standard is measured along these dimensions to ensure that results is measured.

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Behaviour as performance

- how a job is done constitute an important component of the planning phase
- includes discussing *competencies*, which are measurable clusters of KSAs that are critical in determining how results will be achieved

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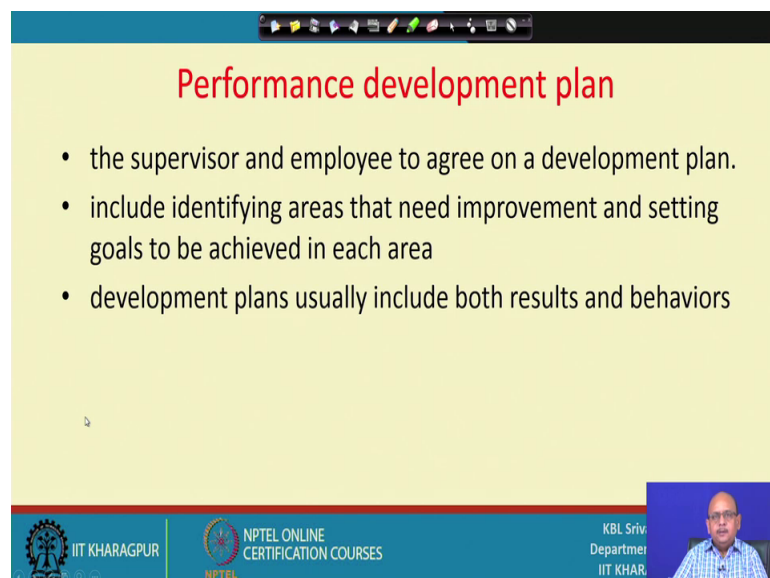
Now, in addition to performance you are also going to measure the behavior and when we are talking about behavior it says that how we are going to perform the job right. So, it includes your competencies the knowledge and skills that you have like knowledge skill

attitude which is critical in determining how results will be achieved for example, as I told you that in order to achieve the sales target say x what kind of competencies you need.

So, it includes say good product knowledge right technical details of the product that is one or two then good interpersonal skill good communicational skill negotiating activities right. So, this could be the behavioral competencies. So, you need to identify those competencies or behavior as a part of our knowledge skill and attitude which is critical in examining how the results will be achieved.

So, if you have this competencies at a standard level then it would help you to achieve the sales target. So, I am not saying that result is not important because that is to be ultimately achieved, but this result has to be achieved through your behavior or competencies which is a part of our knowledge and skill and attitude. So, that is to be defined these are the competencies in standard terms that is to be required by an individual to perform a job effectively moving from behavior as a performance.

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Performance development plan

- the supervisor and employee to agree on a development plan.
- include identifying areas that need improvement and setting goals to be achieved in each area
- development plans usually include both results and behaviors

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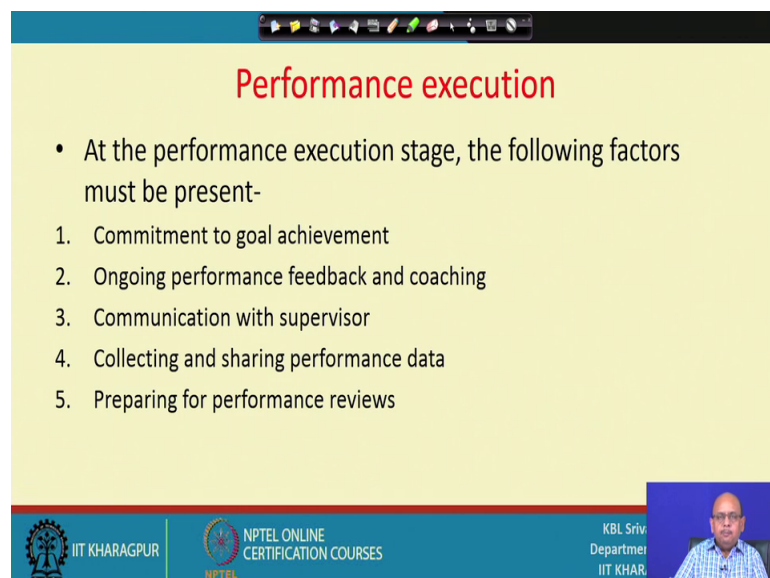
Then once you have identified what kind of behavior and results is to be required then you have a development plan performance development plan it means you also see whether

you have this behaviors in you or not suppose you say that you are not a good negotiator or you are not able to pursue people or you are not able to convince people.

So, this could not be a; this could not be a desired behavior that is required for a sales people job right. So, you discuss it with your manager and identify that these are the areas where the person is not good and they need improvement because if they; it is not there then he will not be able to achieve the goals and objectives. So, you also identify those areas which need improvement because he has a good technical knowledge about the product he can specify it very well he can communicate it very well, but when it comes to negotiation and persuasion is not good. So, it means that is an area that need improvement. So, that he can achieve the targets.

Now these development plans include both the results and the behavior. So, you need to ensure that the technical part as well as the behavioral part is taken care if there is a lack in the sense that is in certain areas the person is not capable enough then he would be able to improve.

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The slide is titled "Performance execution" in red text. It contains a bulleted list of factors that must be present at the performance execution stage. The list includes: 1. Commitment to goal achievement, 2. Ongoing performance feedback and coaching, 3. Communication with supervisor, 4. Collecting and sharing performance data, and 5. Preparing for performance reviews. The slide also features logos for IIT KHARAGPUR, NPTEL ONLINE CERTIFICATION COURSES, and NPTEL, along with a small video inset of a speaker.

Performance execution

- At the performance execution stage, the following factors must be present-

1. Commitment to goal achievement
2. Ongoing performance feedback and coaching
3. Communication with supervisor
4. Collecting and sharing performance data
5. Preparing for performance reviews

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Upon that after the performance development has happened then you move to the next stage it means that you are going to execute it; it means you have a development plan you

have already decided about what is to be achieved you it means that after the pre prerequisite you have planned about the performance.

Now it comes to implementation stage; at this stage, what actually you are going to do is that you are going to see that people are going to actually perform the job and achieve the goals and targets that is given to them. So, that could be used for the evaluation now what is required at this stage it when you are going to execute certain things there certain things that is required by the individual on their part like you must be committed to the goal it means that once you have decided with your supervisor about the goals and objectives, it means that you should engage yourself in achieving those goals and objectives which have been set for you, right.

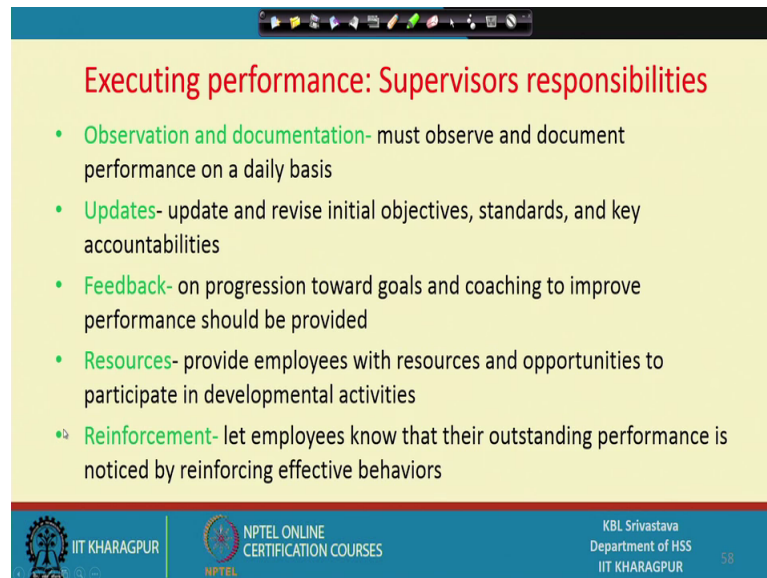
So, on the part by individual, you have to say that you continuously make effort try to use your knowledge and skill based in order to perform your job to the best of your knowledge and skill and then you also show some kind of commitment and engagement to the job. So, that you are able to perform that is more important in addition to that this line managers are responsible to ensure that regular feedback is given to the employees.

Now when I am talking about the second point it means that it is the responsibility of the supervisors and line managers to give regular feedback because this feedback would help individuals to understand; what is their level of achievement or performance what else they need to do and then if they are not able to reach to the performance level within a given time frame then top managements or line managements line managers can also think about coaching them that how to improve their performance within the given time frame.

So, that is the responsibility of the supervisors in executing the performance now third point is that yes you need to communicate with your supervisors on a regular basis, if you have any problems any hassles any barriers if you need certain support in terms of equipment resources technology then it is the responsibility of the supervisor to provide all kind of things to you. So, that you are able to do your job effectively and finally, you need to share data with your subordinates this is for line managers. So, line managers are going to look at your performance and they are going to share this data which sup their subordinates. See, this is how you are going to perform and part of that is review. So, ultimately looking at this performance data you are going to review the performance.

It means that both the supervisors and subordinates must get ready to see that how well they have performed what are the reasons for bad performance why they have been able to achieve the level of performance either good or bad and why it has happened. So, this is the performance execution stage.

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Executing performance: Supervisors responsibilities

- **Observation and documentation**- must observe and document performance on a daily basis
- **Updates**- update and revise initial objectives, standards, and key accountabilities
- **Feedback**- on progression toward goals and coaching to improve performance should be provided
- **Resources**- provide employees with resources and opportunities to participate in developmental activities
- **Reinforcement**- let employees know that their outstanding performance is noticed by reinforcing effective behaviors

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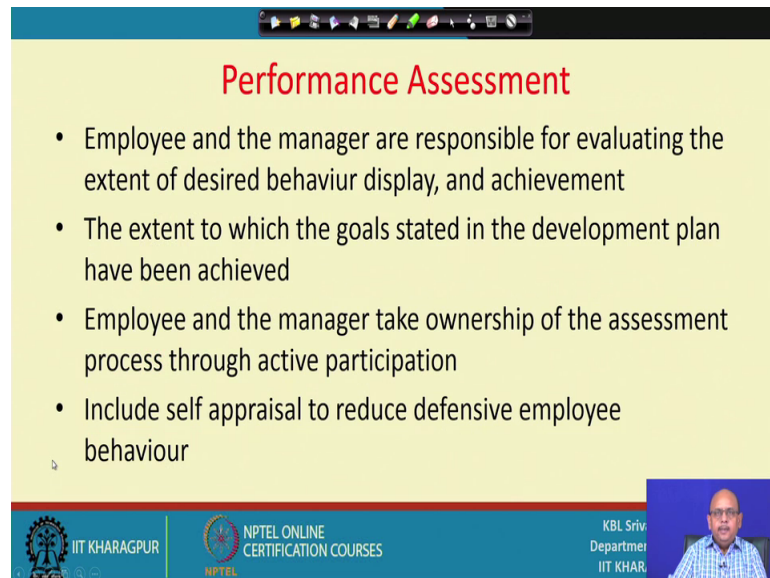
Now, both supervisors and line managers have the responsibilities now when I am talking about the supervisors what is their job when it comes to executing performance. So, let us be more clear about it that is that yes supervisors regularly observe and document the performance on a regular basis.

So, that they know how well they are performing they should provide regular update about the objectives standards and accountabilities they should also give feedback about the performance right and they should provide all the resources which required to perform well and then they encourage people to perform better and better right. So, supervisor has a responsibilities see most of the points we have discussed are there also like what is the responsibility of the supervisors. So, supervisors are supposed to provide feedback on a regular basis.

They are supposed to provide reinforce they are supposed to provide all kind of direction

help and encouragement which is required right and also reinforce effective areas by providing them suitable rewards and then they should go for documentation on a regular basis to ensure that they are going to be factual and honest in the reporting of the performance.

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Performance Assessment

- Employee and the manager are responsible for evaluating the extent of desired behaviour display, and achievement
- The extent to which the goals stated in the development plan have been achieved
- Employee and the manager take ownership of the assessment process through active participation
- Include self appraisal to reduce defensive employee behaviour

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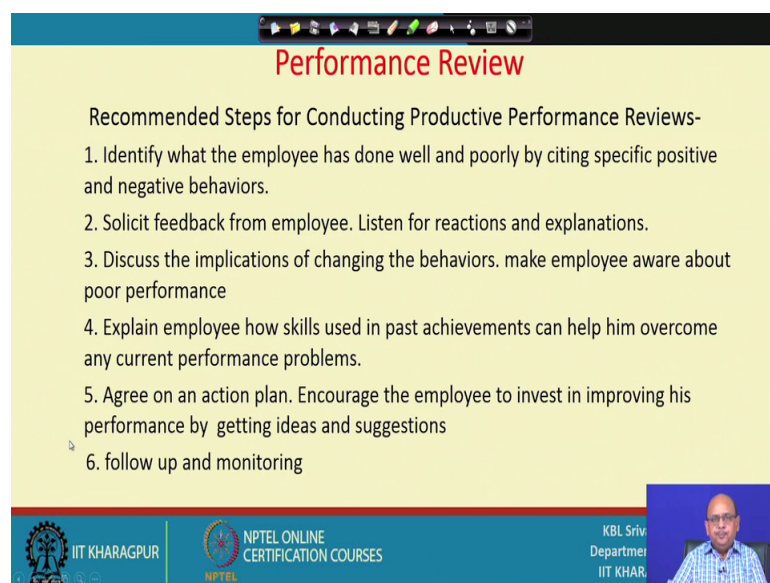
Similarly, line managers, sorry employees are also have the responsibility to communicate and share everything and then ask for a help if for anything is required. So, moving from performance execution now the performance has taken place, then it is the time for assessment. So, in this assessment phase you are going to see that how well the person has performed in terms of both the results and behaviors. So, employees and managers both are the part of the process of the evaluation related to result as well as behaviors.

Now, in this assessment you are going to see that the extent to which the goals have been achieved as for the development plan and the extent of which they take ownership and responsibility for achieving or not achieving the goals and objectives. So, the managers and subordinates both should active actively participate in the process to ensure that the assessment has done fairly it is accurate it is reliable and valid and in the process we are also including employees and provide them an opportunity listen to them because they would be in a better position to tell you why it has happened, if you do not include them in the evaluation process what happens they become defensive because then they will try

and attribute these performance to external factors not to them and they would blame others not to themselves.

So, it is very very important to into ensure that they do not become defensive when this review happens and if they are included in the process probably you are going to be much more secure and safe and it is going to be more accurate assessment after performance of the employees.


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Performance Review

Recommended Steps for Conducting Productive Performance Reviews-

1. Identify what the employee has done well and poorly by citing specific positive and negative behaviors.
2. Solicit feedback from employee. Listen for reactions and explanations.
3. Discuss the implications of changing the behaviors. make employee aware about poor performance
4. Explain employee how skills used in past achievements can help him overcome any current performance problems.
5. Agree on an action plan. Encourage the employee to invest in improving his performance by getting ideas and suggestions
6. follow up and monitoring

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So, when it comes to review. So, make sure that it is very very productive. So, you are able to identify whether performance is good or bad depending upon the objectives and what kind of behaviors you are relating with good and bad performance, positive behaviors as well as negative behaviors, you are getting feedback from the employees you are going to listen for feedback in terms of reactions and explanations why they have performed well or why they have not performed well look at their reactions ask for an explanations for them for good or bad performance.

And how this changed the behavior is going to ensure that later on they are going to perform well. So, the idea is to communicate employees during the review session that they know what is their performance and if it is a poor performance what are the things that they need to do or improve in order to bring about the change in the behavior right you also need to explain that what kind of behavior was expected from you in the past

and what kind of behavior is required in the future and what are your problems related to performance right. So, in the review session what actually happens again you go for developing an action plan where you want employees to improve his efforts right. So, that he improves his performance and you also get idea from employee that.

What needs to be done in a in a on in order to improve the performance and finally, you go for or follow up and monitoring to ensure that you are able to do it.

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Performance renewal and recontracting

- use the insights and information gained from the other phases.
- lead to setting less ambitious goals for the upcoming review period – for the next cycle

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And finally, this is last stage that renewal and recontracting. So, whatever insight or data input you have got based on that you again move to the setting and goals for the next performance cycle. So, in performance renewal once the entire process com completes you get got the feedback based on that again you are going to set the goals for the next performance cycle based on the feedback that you have received. So, that you are going for a recontract for the next performance cycle, right.

Thank you very much.