Performance Planning and Review (PPR)

Guide for Managers and Staff
## Contents

- **Context** 3
- **Five Step Process** 4
- **Guide: Identifying key result areas** 5
- **Guide: Defining goals** 6
- **Guide: Ensuring performance delivery** 7

- **Step 1** Goal-setting: team and individual 8
- **Step 2-4** Quarterly Review Meetings 9
- **Step 5** Final Review Meeting 10
**Context**

Performance planning defines the mission of the HSE, sets high level goals and aligns resources with what needs to be done. In the HSE, the strategic plan is cast in the HSE Service Plan and Transformation Programme. Successfully implementing the strategy depends on managers engaging teams and individuals at all levels on strategically important activities. Goal-setting and regular feedback to teams and individuals are the ways that managers ensure a strong performance focus throughout the year.

PPR is the process used by leading organisations internationally to translate strategic plans into action. It enables them to set goals, monitor performance and provide feedback throughout the performance cycle. The PPR process builds on and is fully compatible with other systems/processes including Service Planning and Team-based Performance Management.

### What it is

PPR is both a leadership and a management process. It starts with a manager conducting goal-setting meetings for teams and individuals. It continues throughout the year with quarterly review meetings that have a dual focus on managing organisational performance and giving feedback to the people responsible for delivering results. Overall PPR provides a continuous clear line of sight between the HSE Strategy and individual performance. Figure 1.

### How it works

During the planning stage, high-level plans from the Senior Management Team cascade throughout the organisation by identifying the key result areas which managers need to include in the performance plans of individuals and teams. PPR emphasises execution by identifying goals that need to be achieved and by providing continuous monitoring and dialogue on progress towards goals. Finally, review meetings focus on feedback, recognition of performance, adjustment to changed circumstances and individual/team learning.

### Benefits

PPR delivers important benefits for the HSE and its staff:

- A clear line of sight between HSE Strategy and the performance plans of managers, teams and individuals
- Clarity for individuals on what they are expected to achieve
- Continuous monitoring of performance against goals
- Objective feedback based on appropriate measures and metrics
- Enhanced employee engagement and motivation
- Performance and contribution acknowledged regularly
- Support and feedback to improve performance when necessary

![Figure 1  Line of Sight](image)
PPR consists of a 5 Step process that commences with goal-setting. The manager meets with his/her team and direct reports at beginning of the planning cycle to determine the team goals to be achieved during the course of the year. The manager then meets one-to-one with, team members and direct reports who are not part of the team to agree individual plans. In this way, goal-setting is cascaded through the organisation.

Managers and staff monitor performance on a continuous basis. There are three quarterly face-to-face meetings to review progress against goals, give feedback, address problem areas and discuss personal development. Figure 3. The final review meeting provides an overall assessment of performance and reviews learning.

**Figure 2** The quarterly review meetings in the 5 Step Process reflect the importance of feedback to teams and individuals throughout the performance cycle

<table>
<thead>
<tr>
<th>Timing</th>
<th>Event</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jan</td>
<td>Goal-setting meetings</td>
</tr>
<tr>
<td>Apr</td>
<td>Quarter 1 Review meetings</td>
</tr>
<tr>
<td>Jul</td>
<td>Quarter 2 Review meetings</td>
</tr>
<tr>
<td>Oct</td>
<td>Quarter 3 Review meetings Preliminary goal-setting for following year</td>
</tr>
<tr>
<td>Dec</td>
<td>Final Review meetings</td>
</tr>
</tbody>
</table>

**Figure 3** Performance Management as part of an annual cycle
KRAs are specific performance areas where results are required. Identifying KRAs is the first part of the goal-setting for individuals and teams.

In the performance planning template, KRAs are divided under four perspectives to provide consistency in the presentation of performance plans and to ensure that all major activities are covered. Sometimes, it is necessary to divide the KRAs into sub-sections to focus attention on specific activities. A further section is included to capture KRAs pertaining to the four perspectives that emerge during the year.

**Heads**

The four perspectives used in the performance planning template are:

- Service delivery/Patient
- Financial management
- Leadership and Growth
- Transformation and Process Change

Priorities which emerge during the year in respect of these perspectives are captured in a separate Emerging KRAs section for ease of identification.

**Identifying KRAs**

In the HSE, the most important KRAs are set out in the Service Plan and the Transformation Programme. The manager and his/her team/direct reports, should review these plans together with other significant plans such as National Strategies when conducting the goal-setting process.

Staff functions, such as HR, IT and Finance should develop KRAs appropriate to their functions using the PPR template. They need to be able to demonstrate how their activities support the line functions in the achievement of high level goals.

**Sources of KRAs**

- HSE Strategy
- Transformation Programme
- Service plan
- HSE Budget
- National Strategies
- Relevant reports
- Capital developments

**KRA example**

<table>
<thead>
<tr>
<th>Perspective</th>
<th>Key result area</th>
<th>Sub-section</th>
<th>Goals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service Delivery / Patient</td>
<td>Emergency Department</td>
<td>Time on trolley</td>
<td>&lt;12 hrs after decision to admit March</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Ward liaison</td>
<td>Commence visits by ward staff April</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Bed Management</td>
<td>PCCC liaison</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Demand forecasting</td>
<td>Complete analysis of usage June</td>
</tr>
<tr>
<td></td>
<td></td>
<td>PCCC liaison</td>
<td>Establish working group Feb</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Identify 20 new step-down beds April</td>
</tr>
</tbody>
</table>

In the example above, many more KRAs and sub-sections would normally be identified. Goal-setting is dealt with in the next section of this guide. The goals will often refer to targets set out in the service plan, HSE Budget or Programmes conducted under Transformation.
Goal-setting is one of the most powerful motivational tools available to managers. When they work with people to agree goals, they clarify the standards of performance required and enable teams and individuals to monitor progress on plans, initiatives and projects.

A participative approach to goal-setting builds commitment and facilitates discussion relating to the support required, interdependencies and resources. The manager as coach, by his/her insight and support, helps to raise the performance of individuals and teams. Figure 4.

### Characteristics of effective goals

<table>
<thead>
<tr>
<th>Characteristics</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Specific</td>
<td>the goal must be clearly defined and unambiguous</td>
</tr>
<tr>
<td>Measurable</td>
<td>it must be possible to assess the extent to which the goal has been achieved</td>
</tr>
<tr>
<td>Achievable</td>
<td>the goals should be realistic: challenging enough to raise performance standards but not so as to discourage effort</td>
</tr>
<tr>
<td>Relevant</td>
<td>goals provide direction and focus effort. It is important that the goals agreed are central to a key result area so that they direct effort into priority activities</td>
</tr>
<tr>
<td>Time based</td>
<td>all goals should include the timescale in which they are to be completed</td>
</tr>
</tbody>
</table>

### Types of goal

**Targets**: these goals are usually expressed in numeric terms. HSE measures/metrics are often set as targets, e.g. have 187 Primary Care Teams holding clinical meetings by December; establish 10 new PCT by end June; reduce HIPE errors by 15% by end June.

**Events**: these goals relate to the completion of events/activities. These goals often support activities necessary to achieve some other goals, e.g. conduct Infection Control Training for 50% of Health Care Assistants by August to reduce hospital-acquired infections. Establish Admission Lounge in A+E by March to reduce numbers of trolleys.

**Behaviours**: these goals relate to strategically important new behaviours being introduced. “How will our behaviours change so that we get significantly different results”. Examples include: participation in multi-disciplinary teams to improve clinical governance; conducting peer reviews of clinical practice.

### Define the timescale

It is important that timescales are included in the performance template:

- Sometimes it is sufficient to set out the date on which something may happen e.g. complete commissioning process in June
- In the case of work projects, it may be better to specify the start and finish dates e.g. Infection Control Training April – July
- Where the goal refers to an end-of-year result, it may be better to refer to milestones i.e. specific targets during the year
- Some goals refer to continuous behaviours, in which case the term “On-going” is used e.g. hand hygiene practices
PPR manages performance on an on-going basis throughout the year. Integration of goal-setting with performance delivery is the missing link in many systems. The lack of integration may result in unexpected outturns at year end. This guide focuses on the execution of performance to ensure that planned activities and new behaviours have the desired effect.

The Plan-Do-Check-Act model is the approach most often associated with the effective execution of performance. Figure 5. In PPR, it is given effect by three related activities: monitoring, communicating and responding.

**Objectives**

1. **Monitoring**: to obtain real-time information on performance delivery across all KRAs so that effective performance can be reinforced and problems addressed at the earliest time.
2. **Communicating**: to ensure that all people affected are advised about performance levels and are in a position to respond.
3. **Responding**: to take advantage of superior performance or deal with deficits in performance and by engaging people in responding to new situations as they arise.

**Action**

<table>
<thead>
<tr>
<th>Monitoring</th>
<th>Communicating</th>
<th>Responding</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Use of existing reports and data sources</td>
<td>1. Management-by-walking-about</td>
<td>1. Re-prioritisation of KRAs</td>
</tr>
<tr>
<td>2. Developing ad hoc reports/tracking systems</td>
<td>2. Staff briefings</td>
<td>2. Revision of goals</td>
</tr>
<tr>
<td>3. Team + individual review meetings</td>
<td>3. One-to-one meetings</td>
<td>3. Engagement with other functions</td>
</tr>
<tr>
<td></td>
<td>4. Written updates</td>
<td>4. Re-alignment of resources</td>
</tr>
</tbody>
</table>

**Outcomes**

<table>
<thead>
<tr>
<th>Performance</th>
<th>People</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Availability of accurate information on current performance levels and timely forecasts of future outcomes</td>
<td>• Focus on performance priorities</td>
</tr>
<tr>
<td>• Action taken to address problem areas</td>
<td>• Immediate feedback on performance outcomes</td>
</tr>
<tr>
<td>• Development of new or amended goals</td>
<td>• Informed and involved in problem-solving</td>
</tr>
<tr>
<td></td>
<td>• Provision of suitable support</td>
</tr>
</tbody>
</table>

**Characteristics of effective performance reports**

- Key data
- Relevant
- Regular
- Concise
- Consistent format
- Graphic
- Timely
The team meeting, at each level in the organisation, plays a vital part in the Performance Planning and Review process. Initially, the Chief Executive and the Senior Management Team meet to establish the HSE priorities for the coming year and to establish the high level goals for the organisation.

In turn, the commitments made by members of that management team cascade down through the organisation to teams at lower levels in the organisation until they are reflected in the goal-setting of all the staff. Team and individual goals often include established HSE measures and metrics.

### Objectives

**Performance priorities**: teams and individuals identify the performance priorities for the planning period and agree on the goals to be achieved within key result areas.

**Commitment**: members of the team take responsibility for delivering results for each of the performance priorities and other team members are aware of their role in supporting each other.

**Conditions for success**: team members have an opportunity to discuss interdependencies and to determine the allocation of resources required to deliver each element of the performance plan.

### Action

<table>
<thead>
<tr>
<th><strong>Team Meeting</strong></th>
<th><strong>Individual Goal-setting</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>The agenda for the team meeting is:</td>
<td>The agenda for the face-to-face meeting between the manager and the team member is:</td>
</tr>
<tr>
<td>• Review/incorporate high level plans</td>
<td>• Clarification of performance expectations</td>
</tr>
<tr>
<td>• Determination of organisational priorities</td>
<td>• Agreement on key result areas and goals</td>
</tr>
<tr>
<td>• Identification of key result areas</td>
<td>• Review of dependencies</td>
</tr>
<tr>
<td>• Agreement on standards of performance expressed as goals</td>
<td>• Resolution of role clarity issues</td>
</tr>
<tr>
<td>• Alignment of resources</td>
<td>• Agreement on monitoring and reporting processes</td>
</tr>
<tr>
<td>• Agreement on monitoring processes</td>
<td>• Review of individual development needs</td>
</tr>
<tr>
<td>• Agreement on team development issues</td>
<td></td>
</tr>
</tbody>
</table>

### Outcomes

**Performance**
- HSE priorities translated into key result areas and goals
- Dependencies resolved

**People**
- Team members accountable for results
- Commitment to deliver results on behalf of team
- Developmental activities for team and individuals are planned

### Role of the manager

1. To model goal-setting and other performance management behaviours
2. To clarify performance expectations
3. To coach staff in setting challenging goals
4. To assist in the management of interdependencies
5. To review the support required by staff
Quarterly review meetings form a vital part of the performance planning and review process. Team review meetings reinforce the collective nature of performance and enable interdependency and boundary issues to be addressed. They enable the manager to provide the regular feedback necessary to motivate staff and to address performance issues.

Individual reviews are the appropriate mechanism for recognising effective performance and for dealing with individual performance issues. These review meetings take place face-to-face.

| Objectives | 1. To review progress against goals  
2. To recognise effective performance and deal with poor performance  
3. To address changes required in the plan  
4. To deal with dependency issues/blockages |
|------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Action     | **Team reviews**  
- Review of performance plans  
- Recognition of effective performance  
- Identification of problem areas  
- Identification of changes to priorities and operating environment  
- Action planning to address performance issues with new goal-setting as required  
- Dependency issues e.g. interdependencies and re-alignment of resources  
- Monitoring and review processes  

**Individual reviews**  
- The agenda for individual reviews is generally the same as for team reviews  
- The focus is on individual performance  
- The manager should follow the guidelines for giving feedback  
- Personal development issues should be included in all meetings  

**Note:** review meetings are an opportunity for new job holders to clarify performance expectations in their new roles |
| Guidelines: Giving feedback |  
- Feedback is an opportunity to recognise performance and reinforce good behaviours  
- Not giving feedback is a missed opportunity to develop individuals and teams  
- Negative feedback should relate to specific behaviours/performance  
- Although individuals/teams may be praised in public, negative feedback should be given in private so that the confidentiality of feedback discussions is maintained |
| Outcomes | **Performance**  
- Review of performance against goals  
- Realignment of key result areas to reflect changing priorities  
- Revised plans put in place  

**People**  
- Recognition of performance  
- Unsatisfactory performance addressed  
- Manager to provide coaching/support |
The final review meetings for individuals and teams, are an integral part of the PPR process. They provide the manager with the opportunity to give feedback on overall performance during the year. Team reviews enable the team to draw lessons from experiences during the performance cycle. These lessons chart the way for improved performance in the following year.

The final review for individuals is important to formally recognise achievements, to address performance issues and to plan future training and development activities.

**Objectives**

1. Review of performance outcomes to provide learning for the future
2. Overall review of team effectiveness
3. Overall assessment of individual performance
4. Planning for the future

**Team effectiveness areas**

- Performance planning
- Role clarity
- Performance execution
- Management processes
- Interpersonal relations

<table>
<thead>
<tr>
<th>Action</th>
<th>Team reviews</th>
<th>Individual reviews</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Review of performance outcomes</td>
<td>Assessment of overall performance</td>
</tr>
<tr>
<td></td>
<td>Recognition of effective performance</td>
<td>- recognition of effective performance</td>
</tr>
<tr>
<td></td>
<td>Identification of problem areas/behaviours</td>
<td>- review of problem areas</td>
</tr>
<tr>
<td></td>
<td>Evaluation of learning from performance</td>
<td>Planning to enhance future effectiveness</td>
</tr>
<tr>
<td></td>
<td>Opportunities to develop the team</td>
<td>Assessment of training + development needs/ opportunities for inclusion in PDP discussion</td>
</tr>
<tr>
<td></td>
<td>Planning for next performance cycle</td>
<td></td>
</tr>
</tbody>
</table>

**Outcomes**

**Performance**

- Assessment of overall performance outcomes
- Action planning for next cycle leading to enhanced future performance
- Team development activities planned

**People**

- Recognition of performance
- Overall assessment of performance
- Individual development needs addressed

- HSE Competency Model

HSE Competency Model is available on: HTTPS://elearning.hseland.ie/tohm/default.asp

**Opportunities for development**

- Work experience e.g. new role, assignments
- Feedback/coaching
- Off-the-job learning e.g. attendance at training programmes
- Developmental activities e.g. involvement in projects