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# APPRAISAL TIME







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## Programme

12:00

Introduction from MC

**Craig Garner**

Training Portfolio Manager – Health & Safety

**EMA**

12:05

**Martin Fourie**

Managing Consultant

**CEB**

12:50

**Hayley Sullivan**

HR Manager

**IBM**

1:15

**Kim Rutherford**

National Sales Manager - Key Accounts

**Southern Cross Health Society**

1:25pm

Closing notes from MC





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**How to increase the effectiveness of performance reviews.**

Presented by

**Martin Fourie**  
Managing Consultant  
**CEB**



# How to Increase the Effectiveness of Performance Reviews

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## Understanding the Impact of Eliminating Ratings

CEB Corporate Leadership Council™ CEB  
Total Rewards Leadership Council

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# Agenda

## Objectives

- Learn how removing performance ratings impacts employee performance and other related talent outcomes.
- Understand how to make an informed decision about removing performance ratings at your organizations.
- Identify three strategy shifts that will make your performance management system a success, no matter your ratings status.

## Timing

Current State of Performance Management	<i>5 minutes</i>
CEB Perspectives on The Ratings Debate	<i>35 minutes</i>
Q&A	<i>5 minutes</i>

## Contact

**Please contact us with any questions you have following the session.**



Marty Fourie, CEB  
Managing Consultant  
[martin.fourie@cebglobal.com](mailto:martin.fourie@cebglobal.com)

 **Engage with CEB on our website**

 **Join our “Ratings Debate” LinkedIn group to continue the discussion with your peers.**

 **Register for upcoming webinars on your CEB member website or at [cebglobal.com/HR](http://cebglobal.com/HR).**



# HR Sees Need for Performance Management Change

## Performance Management Systems Are Failing

**Only 4%** of HR leaders feel they are **effective** at accurately assessing employee performance.

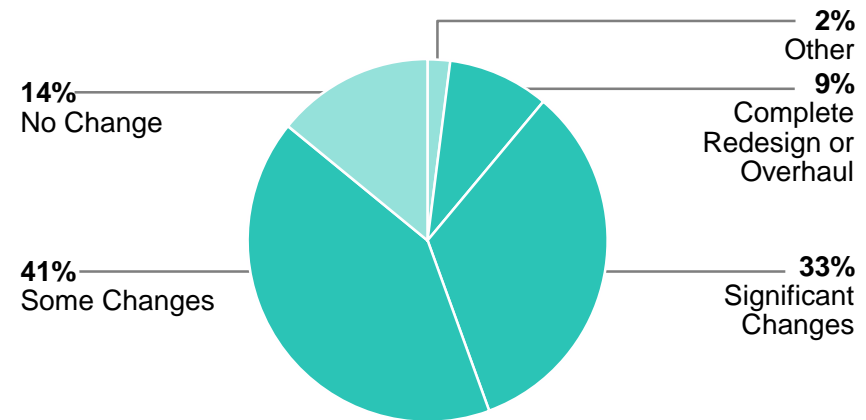
*n* = 379.  
Source: CEB 2016 HR Agenda Poll.

## Performance Management Underperforms Because...

- 1 ...it's annual.
- 2 ...it's backward looking.
- 3 ...it's complex.
- 4 ...it's time consuming.
- 5 ...it's inconsistent.

## Significant Changes Needed for Performance Management

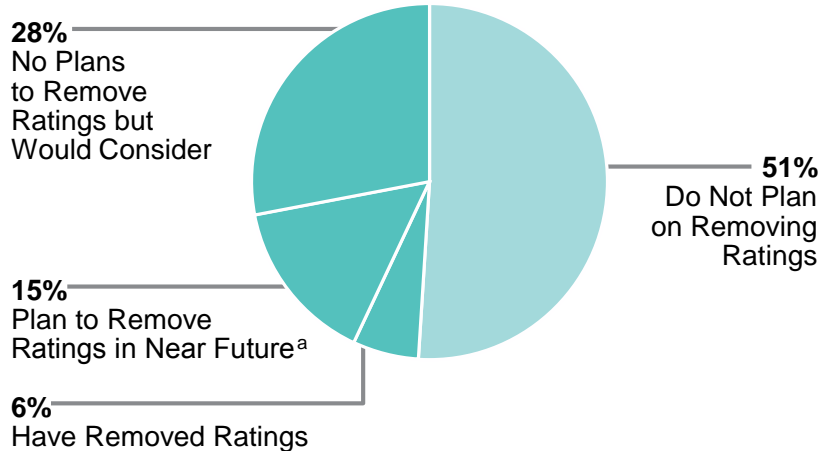
Percentage of Organizations Planning



*n* = 99.  
Source: CEB 2015 HR Agenda Poll.  
Note: "Other" represents organizations that were undecided or do not have a formal performance management process; Total does not equal 100% due to rounding.

# Growing Momentum to Eliminate Ratings

## HR Leaders Eliminating or Considering Eliminating Ratings



n = 296.

Source: CEB 2016 HR Agenda Poll.

<sup>a</sup> Organizations who plan to remove ratings in the near future include several that have piloted the approach and collected related results and/or feedback.

## Sample List of Organizations Who Have Publicly Announced Removing Ratings



## Organizations Are Facing Three Situations

- 1 Organizations That Do Not Plan to Remove Ratings**  
**This Brief Will Help You:**  
 Communicate the impact of removing ratings to senior stakeholders and focus attention on what is needed to make performance management a success.
- 2 Organizations Considering Removing Ratings**  
**This Brief Will Help You:** Make an informed decision about removing ratings considering both your organization's situation and how removing ratings will affect managers and employees.
- 3 Organizations That Have Eliminated Ratings**  
**This Brief Will Help You:**  
 Focus attention on three strategy shifts that will make your performance management system a success.

Source: CEB analysis



# Organizations Expect Removing Ratings Will Drive Employee Performance

## Organizations Expect Performance to Rise Without Ratings Because...

- 1 ...employees will become more **engaged**.
- 2 ..managers will have more time to spend on **informal conversations**.
- 3 ...the **quality** of manager conversations will improve.
- 4 ...managers can better **differentiate pay**.

Source: CEB analysis

**Key Question**  
What's the real impact of eliminating ratings?

“**Employees didn’t like ratings**, especially those who get an average rating. The rating came as a surprise for these employees and left them **less engaged** and more disappointed.”

HR Leader  
Technology Company

“We **eliminated ratings so that managers could improve performance conversations** and spend more time on how employees performed and what they can do to develop, instead of on defending the ratings.”

HR Leader  
Technology Company

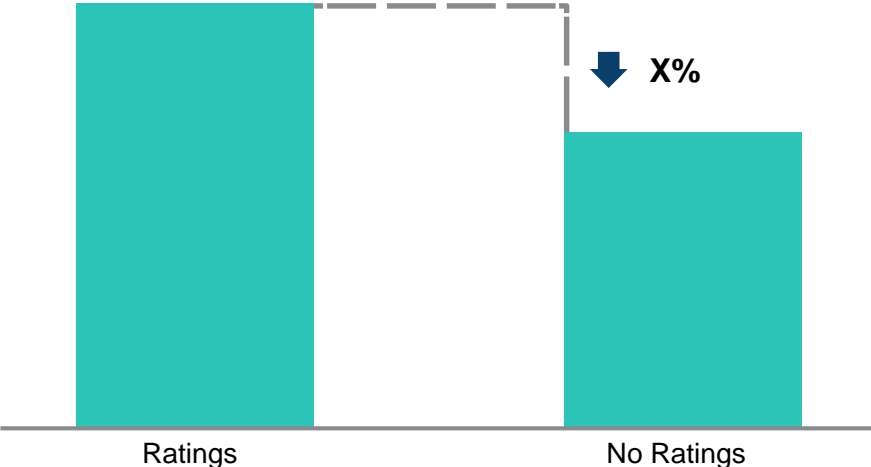
# What We Did

## Our Data Strategy

To better understand the impact that ratings have, we surveyed **nearly 10,000 employees** in our 2016 Pay for Performance Employee Survey. These employees were from across the globe, spanning **18 countries**, and from a representative sample of industries and organizational sizes (see the Appendix for further demographic breakdowns). We compared the outcomes and perceptions of those employees in organizations that use performance ratings to those in organizations without ratings.

## Comparison Between Employees With and Without Ratings

*Illustrative Outcome*



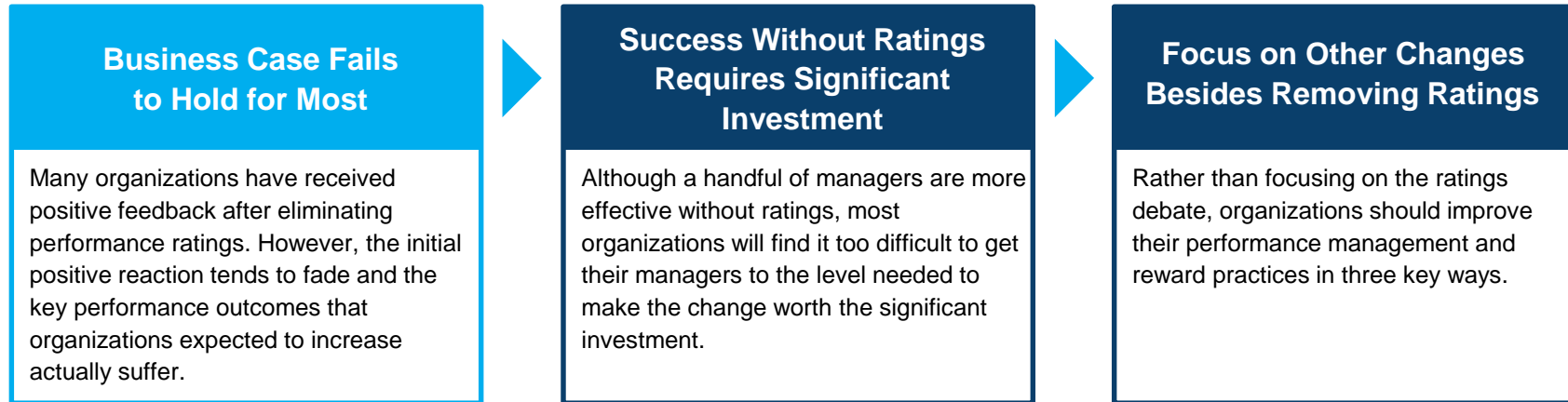
**How to Read Data**  
Comparisons are made between employees with and without ratings. Where relevant, we report **the mean difference in percentage between each group.**

*n* = 9,868.

Source: CEB 2016 Pay for Performance Employee Survey. Note: All results were consistent with findings in this brief when replicated for US-based employees and for employees who work at larger (5,000 FTE+), more progressive organizations.



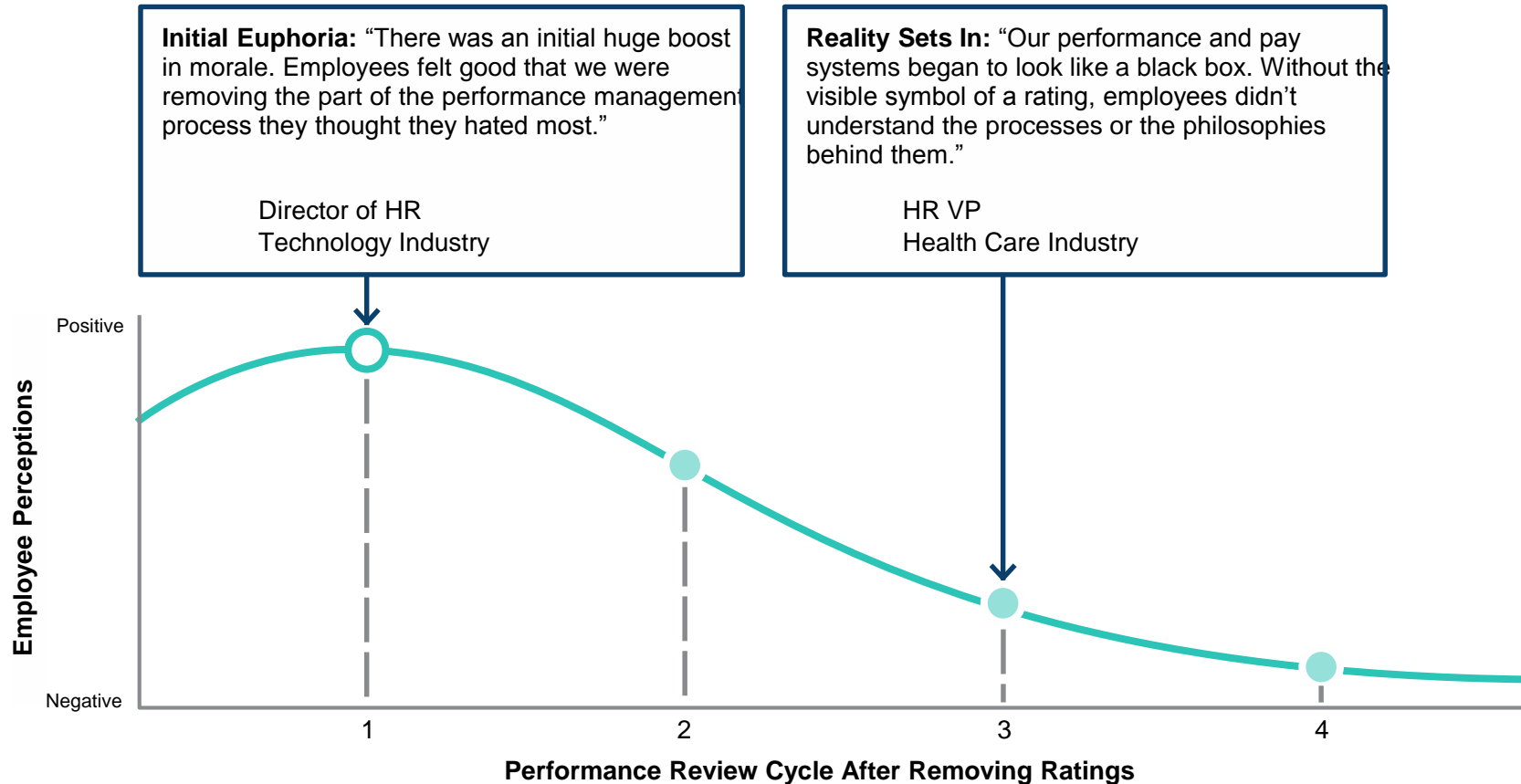
# Roadmap: Our Perspectives on the Ratings Debate



# Initial Euphoria Does Not Last

## Typical Satisfaction with Performance Management and Pay Over Time When Removing Ratings

Illustrative Satisfaction with Performance Management Over Time



$n = 9,686$ .

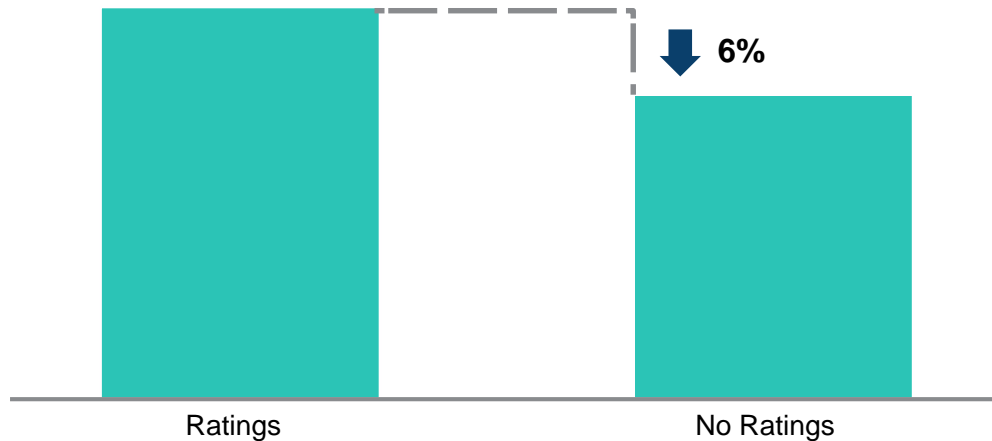
Source: CEB 2016 Pay for Performance Employee Survey.



# Reality: Managers Struggle to Engage Employees

## Lack of Ratings Impact on Employee Engagement<sup>a</sup>

Average Employee Engagement Score



*n* = 9,686.

Source: CEB 2016 Pay for Performance Employee Survey.

Employee engagement scores comprise two batteries that represent employees' involvement in their work and intent to stay at their organization.

Note: The reduction in employee engagement is statistically significant  $p < 0.001$ .

### Advice for Organizations Without Ratings

- Communicate new performance management philosophy and processes to employees so they understand what to expect and how it is intended to benefit them.
- Identify new and different ways to recognize high performance outside the traditional performance management process to improve employee engagement.

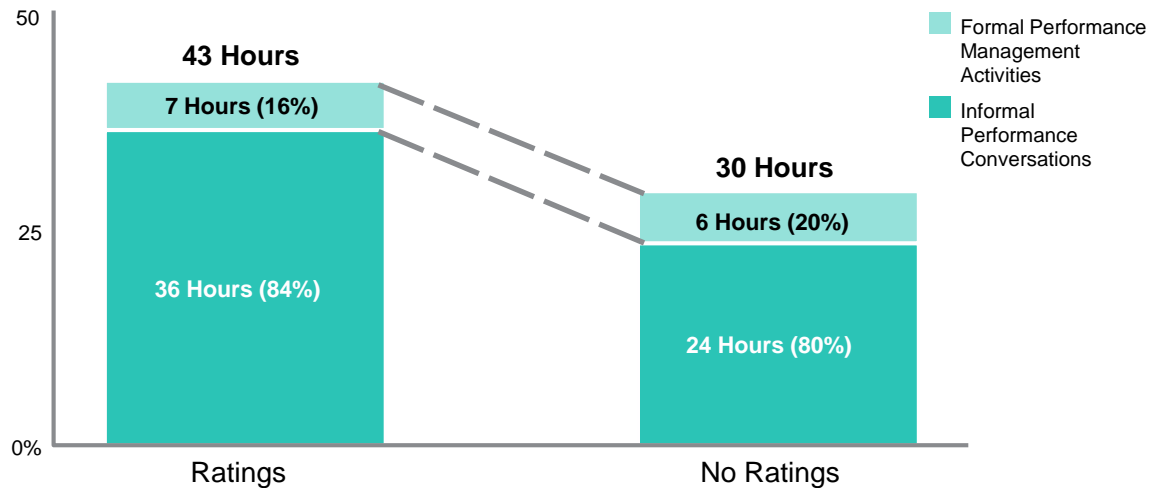
“Employees felt that having performance reviews without the rating was like **going out to a nice dinner but without steak**. You got the sides but not the main meal.”

HR Leader  
Telecommunications

## Reality: Managers Spend Less Time on Informal Conversations Without Ratings

### Manager Time Spent on Performance Management Activities<sup>a</sup>

Average Hours (and Proportional Time Spent) on Performance Management per Year, per Direct Report



#### The Bottom Line

In the absence of ratings, managers spend less time on performance management activities. But they do not shift that extra time toward ongoing, informal performance conversations.

*n* = 9,686.

Source: CEB 2016 Pay for Performance Employee Survey.

<sup>a</sup> Formal performance management activities include goal setting, performance evaluation and calibration, documenting employee performance, and preparing for performance conversations. To calculate time spent on informal conversations per year, manager conversation sessions were estimated to last one hour.

Note: The reduction in time spent on performance management activities is statistically significant  $p < 0.001$ .

#### Advice for Organizations Without Ratings

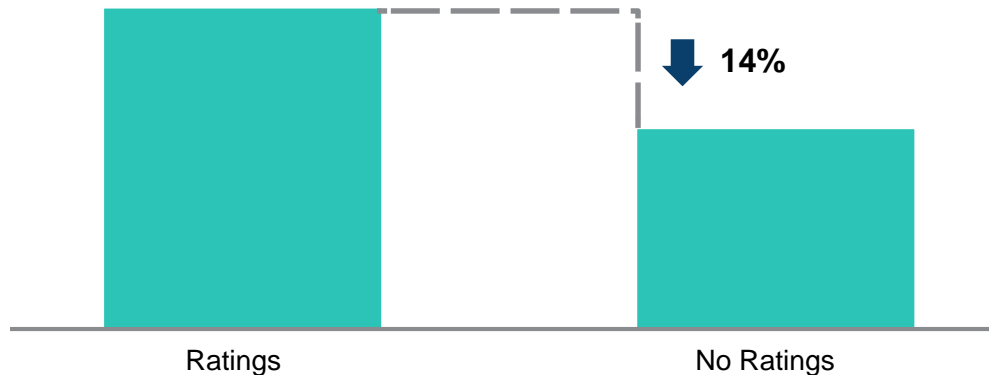
- Set expectations for the timing and frequency of performance conversations to encourage managers and employees to have regular discussions.
- Allow employees to own performance conversations so that they can customize discussions and share accountability with managers.



# Reality: Manager Conversation Quality Decreases Without Ratings

## Lack of Ratings Reduces Employee Perceptions of Manager Conversation Quality<sup>a</sup>

Average Quality of Manager Conversation Score



### Quality of Manager Conversation Score Defined

- 1 How They Performed in the Past**  
Performance on assignments, contributions to organizational success, impact on customers or partners
- 2 How to Improve Future Performance**  
Developmental action steps, future performance objectives, work priorities, clarity of expectations

*n* = 10,531.

Source: CEB 2014 Enterprise Contribution Workforce Survey.

<sup>a</sup> This calculation was completed using the Quality of Manager Conversation Score, which represents how effective managers are at helping employees understand their performance in the past and how they can improve performance and development in the future.

Note: The reduction in manager conversation quality is statistically significant  $p < 0.001$ .

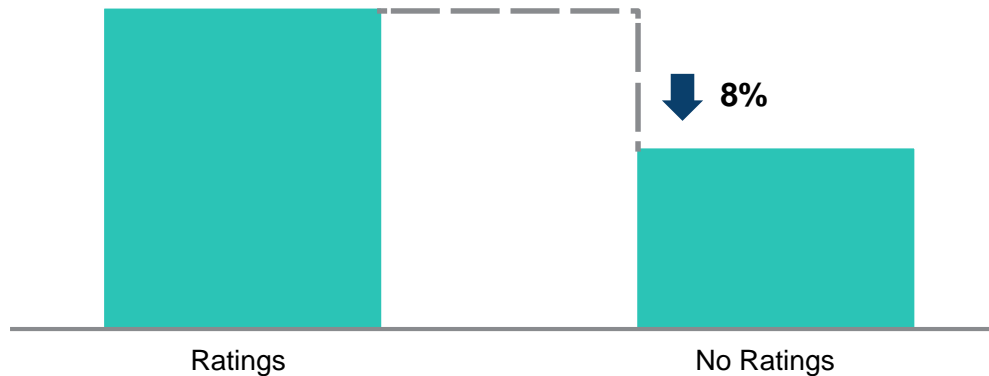
### Advice for Organizations Without Ratings

- Measure the quality, not just occurrence, of manager conversations through existing employee surveys or other feedback mechanisms to focus managers on conversation quality.
- Train managers to send clear messages about performance and development without ratings by providing concrete evidence of how the employee is performing and progressing.

## Reality: Employee Perceptions of Pay Differentiation Decrease Without Ratings

### Perceptions of Pay Differentiation Decrease Without Ratings

Average Perceptions of Pay Differentiation<sup>a</sup>



#### The Bottom Line

While many organizations report that pay differentiation increased when they removed ratings, employees believe there is less differentiation because managers struggle to explain how pay decisions are made and linked to individual contributions.

*n* = 9,686.

Source: CEB 2016 Pay for Performance Employee Survey.

<sup>a</sup> Perceptions of pay differentiation represents a drop in the number of employees who believe their organization differentiates pay.

Note: The reduction in pay perceptions is statistically significant  $p < 0.001$ .

#### Advice for Organizations Without Ratings

- Guide managers to make pay decisions by using simple criteria such as performance against role, goal achievement, and role criticality to identify employees who should receive the highest awards.
- [Connect a summary of the employee's contributions to their pay decision, and provide organizational context to show employees how pay decisions were made fairly.](#)

“When we removed ratings, employees seemed to **stop believing we were differentiating pay at all.** The rating seemed to symbolize to employees that ‘pay for performance’ was occurring in practice.”

VP of TR  
Health Care Industry



# Greater Negative Impact for High Performers Without Ratings

## The Negative Impact of a Lack of Ratings Is More Pronounced for High Performers<sup>a</sup>

**1 Manager Time Spend:**  
High performers are less satisfied with manager time spent on performance management.

**2 Manager Conversation Quality:**  
High performers are less satisfied with manager conversations.

**3 Reward Differentiation:**  
High performers are less likely to feel that they are rewarded appropriately for their contributions.

*n* = 9,686; 10,531.

Source: CEB 2016 Pay for Performance Employee Survey; CEB 2014 Enterprise Contribution Workforce Survey.

<sup>a</sup> High-performing employees were in the top quartile on an index that measured performance against individual tasks and collective contributions.

## Impact of Lack of Ratings on Employee Satisfaction with Manager Conversations by Performance Level

Average Quality of Manager Conversation Score<sup>b</sup>



*n* = 5,004.

Source: CEB 2016 Pay for Performance Employee Survey.

<sup>b</sup> This calculation was completed using the Quality of Manager Conversation Score, which represents how effective managers are at helping employees understand their performance in the past and how they can improve performance and development in the future.

“High performers are the ones who like ratings the most. The rating is a **form of recognition for the work they are doing**, and we are afraid that whatever we replace that label with won’t have the same effect.”

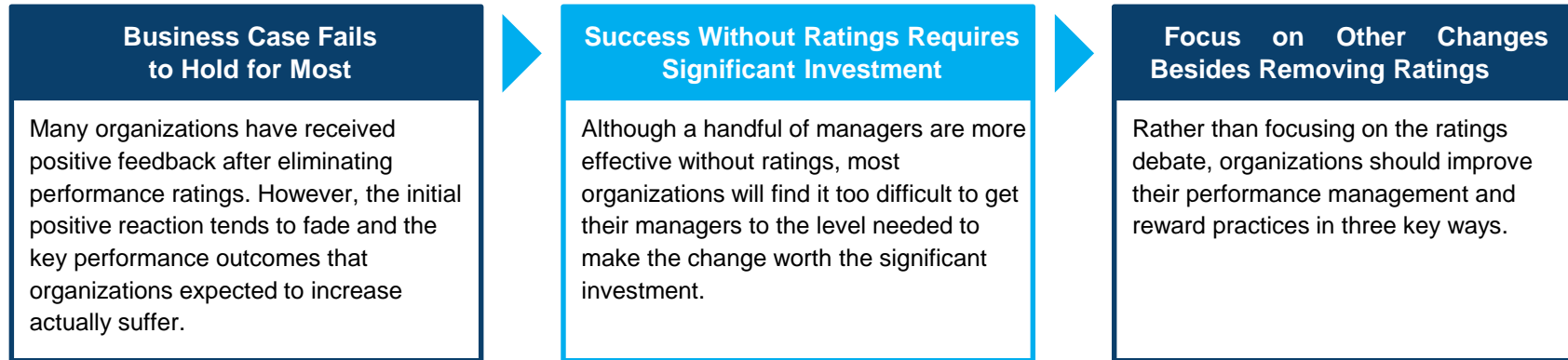
Senior HR Director  
Pharmaceuticals Industry

# Summary of the Impact of Removing Ratings

	The Expectation	The Reality for Most	Advice for Organizations Without Ratings or Eliminating Ratings
1	Managers Can <b>Better</b> Engage Employees	Employees Are Less Engaged	<ul style="list-style-type: none"> <li>Communicate new performance management philosophy and processes to employees so they understand what to expect and how it is intended to benefit them.</li> <li>Identify new and different ways to recognize high performance outside the traditional performance management process to improve employee engagement.</li> </ul>
2	Time Spent on Informal Conversations Will <b>Increase</b>	Managers Have More Time, but Time Spent on Informal Conversations Decreases	<ul style="list-style-type: none"> <li>Set expectations for the timing and frequency of performance conversations to encourage managers and employees to have regular discussions.</li> <li>Allow employees to own performance conversations so that they can customize discussions and share accountability with managers.</li> </ul>
3	Quality of Manager Conversations Will <b>Improve</b>	Manager Conversation Quality Declines	<ul style="list-style-type: none"> <li>Measure the quality, not just occurrence, of manager conversations through existing employee surveys or other feedback mechanisms to focus managers on conversation quality.</li> <li>Train managers to send clear messages about performance and development without ratings by providing concrete evidence of how the employee is performing and progressing.</li> </ul>
4	Managers Will Be Able to <b>Better Differentiate Pay</b>	Perceptions of Pay Differentiation Decrease	<ul style="list-style-type: none"> <li>Guide managers to make pay decisions by using simple criteria such as performance against role, goal achievement, and role criticality to identify employees who should receive the highest awards.</li> <li>Connect a summary of the employee's contributions to their pay decision, and provide organizational context to show employees how pay decisions were made fairly.</li> </ul>

Source: CEB analysis.

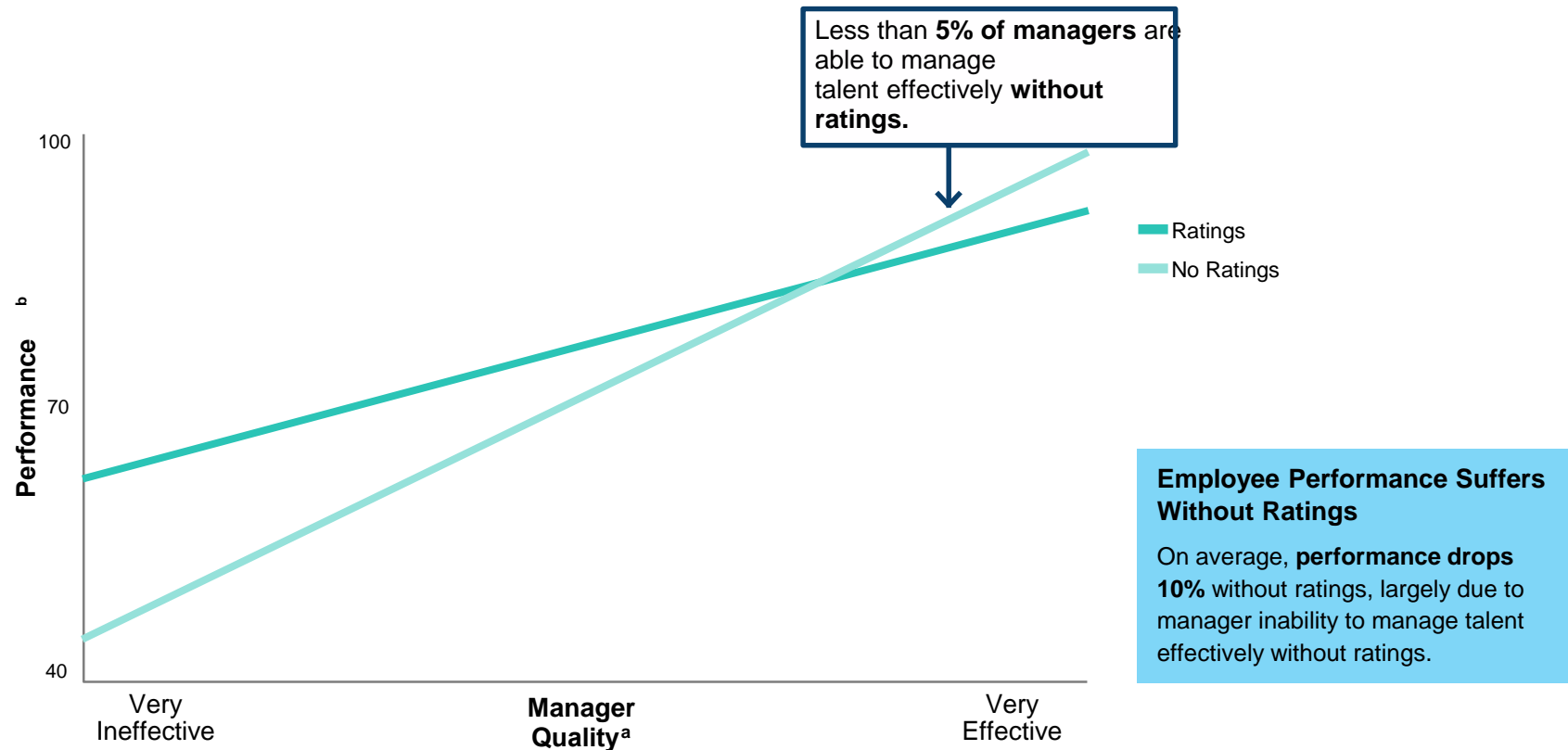
# Roadmap: Our Perspectives on the Ratings Debate





# Successful Organizations Have Extremely High Manager Quality

## The Relationship Between Manager Quality and Performance



$n = 9,686$ .

Source: CEB 2016 Pay for Performance Employee Survey.

<sup>a</sup> Manager quality was calculated using the Manager Quality Score, which comprises a) manager fairness, b) manager feedback effectiveness, c) quality of performance management, and d) time spent on informal performance conversations. The average Manager Quality Score is 47.

<sup>b</sup> Performance was calculated with an index that measured performance against individual tasks and collective contributions and then scaled to 100.

# Organizations That Have Successfully Eliminated Performance Ratings Made Significant Investments

## Investments Made by the Successful Few

### Significant Ongoing Manager Training

- Development costs to design new training, guides, and tools for managers
- HR FTEs to deliver ongoing training
- Manager time to attend new and ongoing training

### Additional Managerial Infrastructure to Ensure Ability and Accountability

- Investment in significantly improved onboarding of new managers
- HR FTEs to implement a system to increase manager accountability for conversations
- Investment in better assessment of managerial capability before manager selection

### Robust, Multiyear Change Management Process

- HR FTEs to create and implement communication plan for different employees segments
- HR FTEs and development costs to create tools and resources to enable employee participation in performance management
- HR time spend to respond to questions or problems that arise

### Large-Scale Adjustments to Related HR Processes

- HR and leader time spend and resources to monitor effects of eliminating ratings on other processes (e.g., talent management)
- Costs of implementing changes within processes such as talent reviews and recognition programs
- Investments in new technologies or systems to track HR effectiveness without ratings

### The Bottom Line

Large investments in training and change management are required to enable the effective management of talent without ratings. Even with these investments, most organizations will struggle to reach the level of manager effectiveness required, as currently only the top 5% of managers are able to manage talent effectively without ratings.

Source: CEB analysis.

# Exceptions to the Rule: Situations Where Removing Ratings Might Make Sense

## Removing Ratings Only Makes Sense to Drive Needed Organizational Change

Removing performance ratings will not improve talent outcomes (e.g., employee performance), but organizations might choose to deprioritize these talent outcomes to drive another needed organizational change by removing ratings. In these cases, consider temporarily removing ratings until the shift has occurred.

### Example 1

Organizations where **competitive cultures** prevent effective collaboration might remove ratings to encourage a change in employee and manager mind-sets from competition to collaboration.

### Example 2

Organizations that currently use **forced rankings**, which have damaging effects on talent outcomes, might remove ratings to signal a change in their performance management strategy and facilitate the move away from this practice.

### Example 3

Organizations where employees and managers put **more weight culturally on numbers than is appropriate** (e.g., many engineering cultures) may remove ratings to force a shift in focus during performance reviews.

Source: CEB analysis.



# Roadmap: Our Perspectives on the Ratings Debate



# Successful Organizations Focus on Three Performance Management Strategies

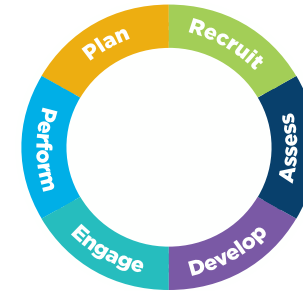


*n* = 23,339 (2012); 10,531 (2014).

Source: CEB 2012 High Performance Survey; CEB 2014 Enterprise Contribution Workforce Survey.

# CEB Talent Management

CEB enables more precise talent management by delivering insights and solutions to drive your business performance.





# CEB Resources for Organizations with Any Rating Status



1

## Organizations That Do Not Plan to Remove Ratings

### Guidance for Driving Breakthrough Performance

This study focuses on the competencies of today's top performers and on the strategies for driving performance.

### Everyday Performance Management

This implementation guide based on Cargill's best practice enables you to implement ongoing, two-way performance dialogues between managers and employees.

### Crowdsourced Associate Evaluations

This guidance from W.L. Gore will help you quantify and reward network performance through peer feedback to encourage the right behaviors.

### Pay and Pay Communication Training for Managers (Note: For CEB Total Rewards Members Only)

Build and deliver pay training to educate your managers on pay basics, improve their ability to differentiate pay, and boost their confidence and skills in delivering pay.

2

## Organizations Considering Removing Ratings

### The Ratings Decision

This webinar replay shares perspectives from the Hanover Insurance Group, Dell, CA Technologies, and Pfizer on how they decided to eliminate performance ratings.

**Forget the Ratings Debate: How to Really Drive High Performance** This webinar replay draws from experiences with several leading organizations who have implemented practical and sustainable changes to improve their performance management processes.

### Quick Poll Results: Eliminating Performance Ratings and Considerations for Total Rewards

This report provides data on the top concerns and considerations for compensation functions related to eliminating ratings.

3

## Organizations That Have Eliminated Ratings

### Managing Pay After Eliminating Performance Ratings

This webinar replay shows how Cisco and Medtronic manage pay processes after eliminating ratings.

### Five Lessons for Eliminating Performance Ratings

This research report reviews five lessons from organizations about how to manage performance without ratings.

### Five Lessons for Managing Pay Without Performance Ratings

This research report teaches key lessons from organizations such as Medtronic and Cisco on how to maintain and improve pay processes after eliminating performance ratings.

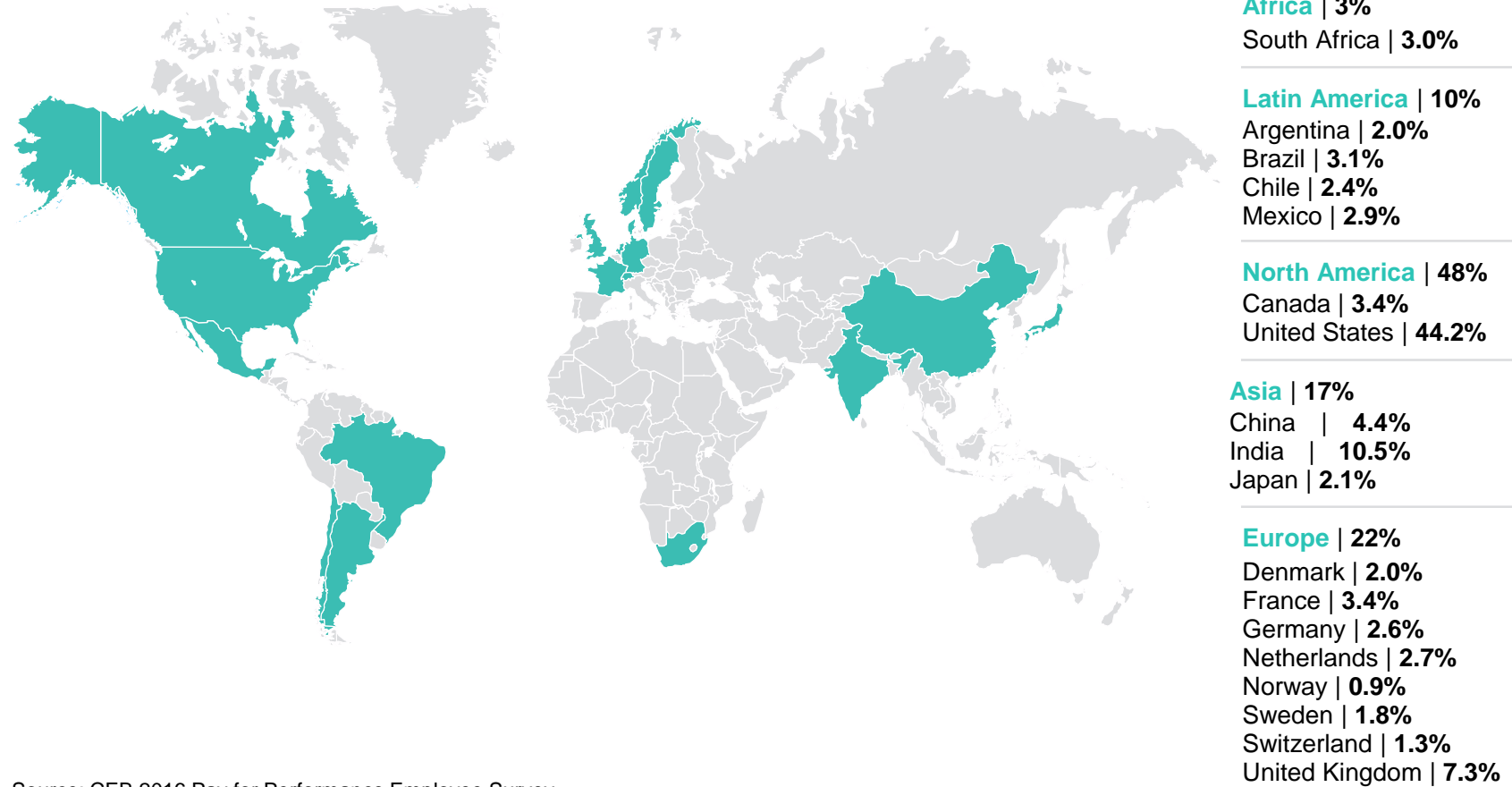
Access the [Performance Ratings Debate](#) center for answers to top questions about if and how to eliminate performance ratings.

# Appendix

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# Appendix A: Employee Survey Demographics

## Survey Participation by Region *Percentage of Organizations*

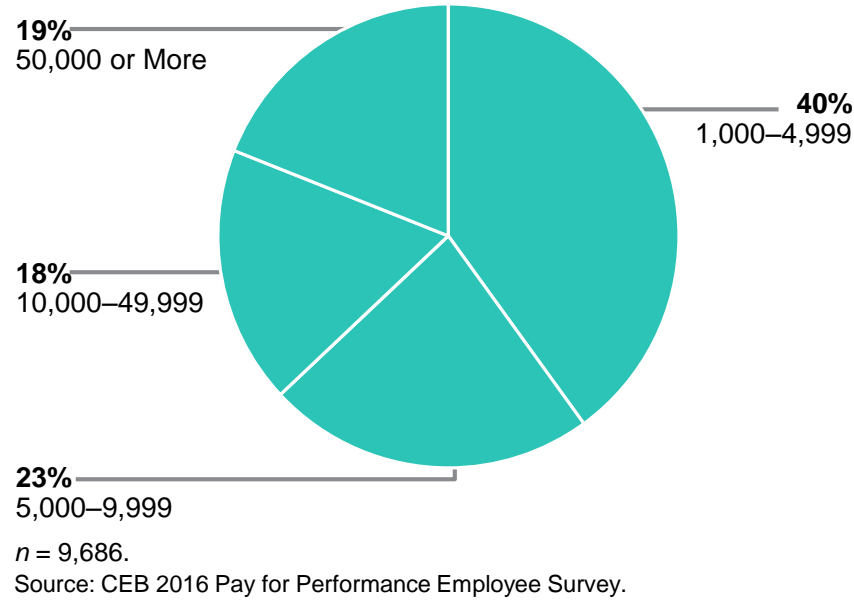


Source: CEB 2016 Pay for Performance Employee Survey.

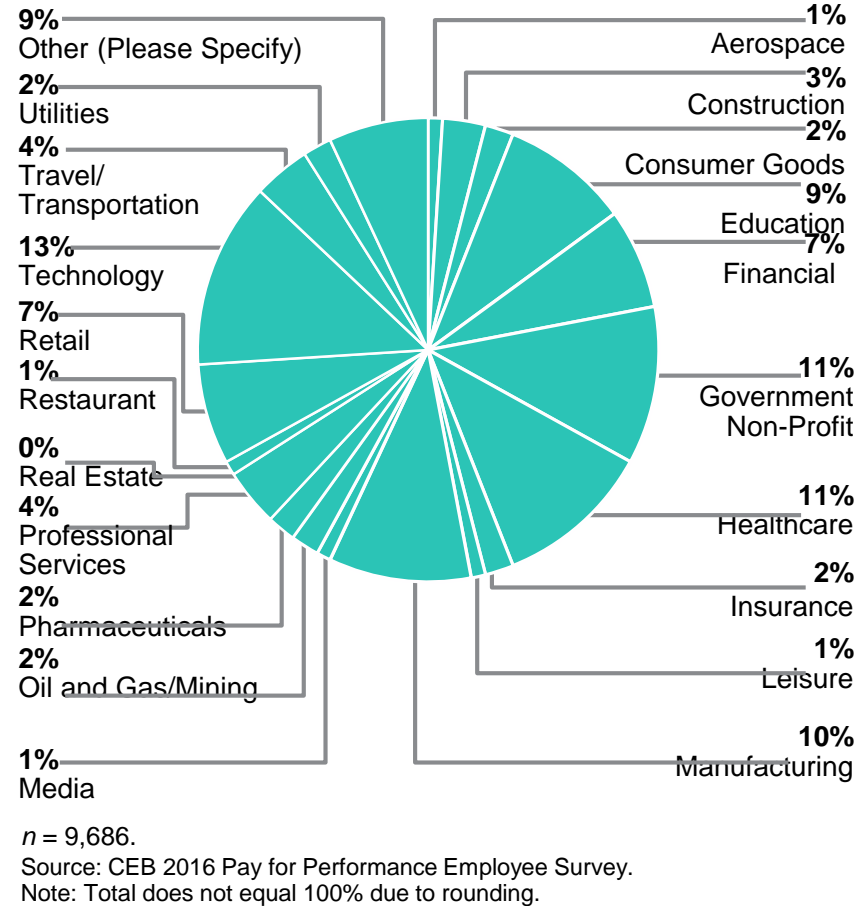


# Appendix A: Employee Survey Demographics (Continued)

**Survey Participation by Organization Size**  
Percentage of Organizations



**Survey Participation by Industry**  
Percentage of Organizations



# Appendix B: Additional CEB Resources to Improve the Impact of Performance Management



## Step 1

### Assess the Effectiveness of Your Current Performance Management Approach

#### Model of High Performance

Featured in the Performance Management Topic Center, this model redefines employee performance for the new work environment.

#### Executive Presentation Materials for HR

This customizable presentation helps build a common understanding of the high-performance model across the organization.

#### Performance Review Effectiveness Diagnostic

This CEB-managed diagnostic measures the effectiveness of your organization's performance review process.

## Step 2

### Redesign Your Performance Management Approach

#### Guidance to Identify Competencies to Maximize Enterprise Contribution

This guide provides best practices for identifying high-performance competencies.

#### Goal Alignment Cascade

Follow these best practices from Seagate to refine your goal-setting and cascading process so that employees at all levels understand how to work together to support organizational priorities.

#### Employee-Owned Performance Conversations

This implementation guide is based on Mitchell's best practice to increase employee ownership of informal performance discussions.

## Step 3

### Equip Line Managers and Employees to Drive High Performance

#### Guidance for Managing for Enterprise Contribution

This guidance includes tactics that line managers should employ and the pitfalls that they should avoid when driving breakthrough performance in the new work environment.

#### Manager Resource Portal on Performance Management

Use these line manager resources to improve foundational performance management skills and advanced skills, such as managing for enterprise contribution.

#### Employee Resource Portal

Use these employee resources to navigate the new work environment by working more effectively with and through others.



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A top-down view of a person's feet wearing black dress shoes and grey trousers, standing on a grey concrete floor. Two white arrows point upwards from the shoes towards the top of the page.





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## CASE STUDY: From Performance Management to Checkpoint.

IBM's journey in co-creating a new performance management approach.

Presented by

**Hayley Sullivan**  
HR Manager  
**IBM**



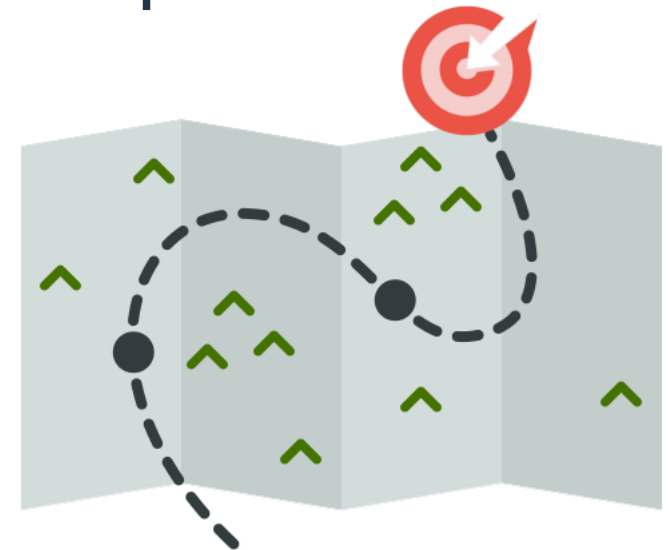


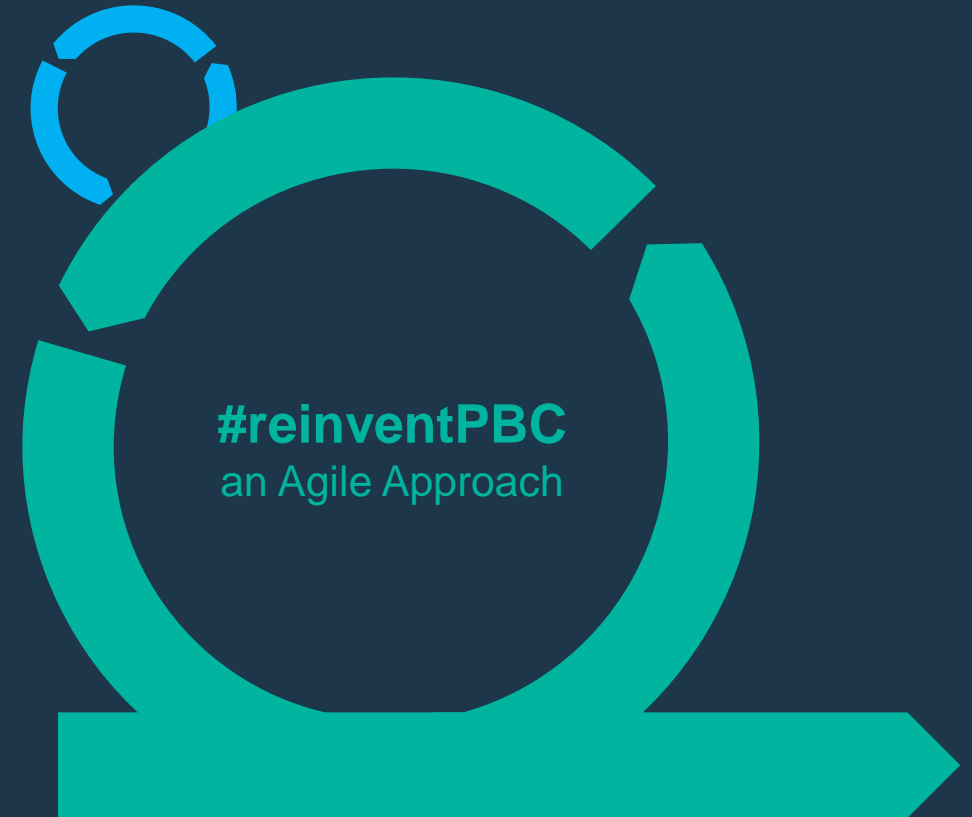
# IBM's journey co-creating a new performance management approach

From  
#reinventPBC  
to Checkpoint



Checkpoint



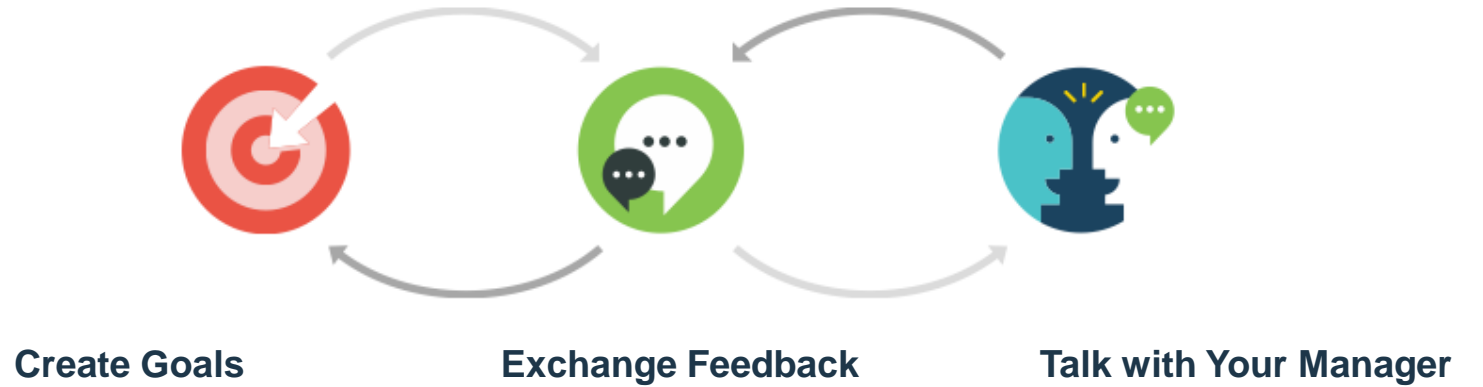


In less than four months,  
agile methodology, expertise, and technology  
deliver a uniquely IBM global performance  
management program inspired and designed  
by IBMers

Goodbye PBC, Hello  
**Checkpoint**

The new approach to managing performance that puts IBMers in control.

### How Checkpoint Works



Alignment happens during checkpoints all year long. Managers and employees close out at year end with a final checkpoint, with **exceed**, **achieve**, or **expect more** against each of five dimensions.

IBMers will be assessed on **five dimensions**



Business Results



Client Success



Innovation

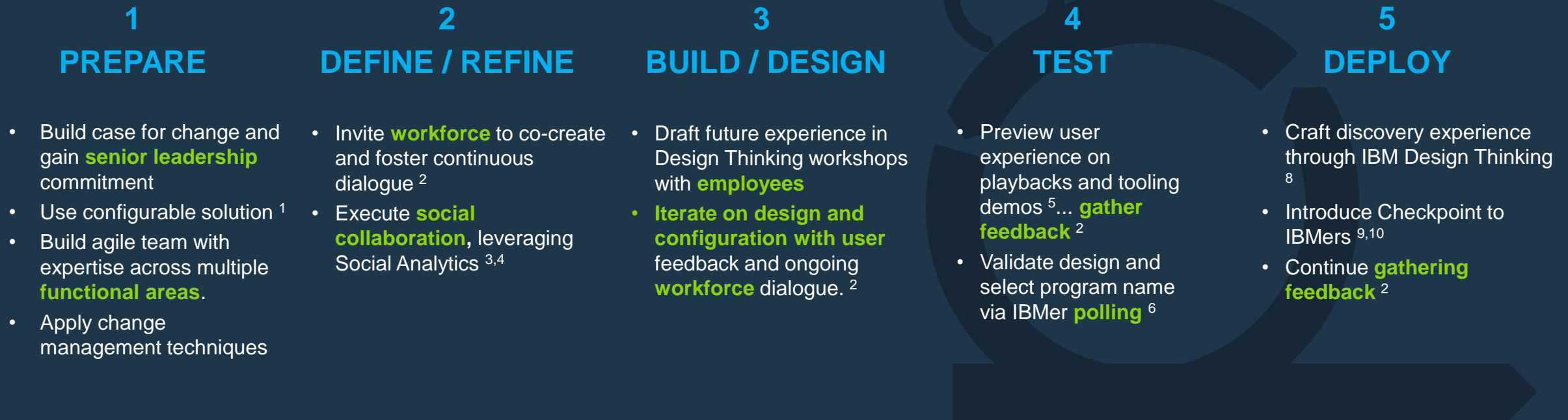


Responsibility to Others



Skills

# #reinventPBC retrospective journey: agile methodology, expertise, and technology



- Build case for change and gain **senior leadership** commitment
- Use configurable solution <sup>1</sup>
- Build agile team with expertise across multiple **functional areas**.
- Apply change management techniques

- Invite **workforce** to co-create and foster continuous dialogue <sup>2</sup>
- Execute **social collaboration**, leveraging Social Analytics <sup>3,4</sup>

- Draft future experience in Design Thinking workshops with **employees**
- **Iterate on design and configuration with user** feedback and ongoing **workforce** dialogue. <sup>2</sup>

- Preview user experience on playbacks and tooling demos <sup>5</sup>... **gather feedback** <sup>2</sup>
- Validate design and select program name via IBMer **polling** <sup>6</sup>

- Craft discovery experience through IBM Design Thinking <sup>8</sup>
- Introduce Checkpoint to IBMers <sup>9,10</sup>
- Continue **gathering feedback** <sup>2</sup>

## Design Thinking

**50+**  
participants

**Global**  
representation

Invitation to Co-create  
**2,000**  
comments

**75,000**  
views

## Prototype Experience

**19,000**  
experience the Minimum Viable Product and provide additional feedback

**600+**  
ideas for new name

## PAST

annual goals ▶

single element assessment ▶

one or two ritualized meetings on  
performance annually ▶

documenting results annually ▶

Team Based Decision Making  
and distribution guidelines ▶

## FUTURE

prioritized shorter-term goals

multiple performance ratings

practice of continuous feedback

updating milestones and  
achievements regularly

managers are empowered and  
accountable





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# APPRAISAL TIME

**Business performance from the perspective of  
HR professionals.**

Presented by

**Kim Rutherford**  
National Sales Manager – Key Accounts  
**Southern Cross Health Society**



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# Understanding business performance from the perspective of HR Professionals

**Kim Rutherford**  
National Key Account Manager  
Southern Cross Health Society

## Measuring what matters

- Key metrics and business performance
- HRINZ members approached to take part
- Survey conducted June 2016 in conjunction with HRINZ and Clarity Insights

*Employees think harder about leaving organisations which offer greater benefits than other organisations*

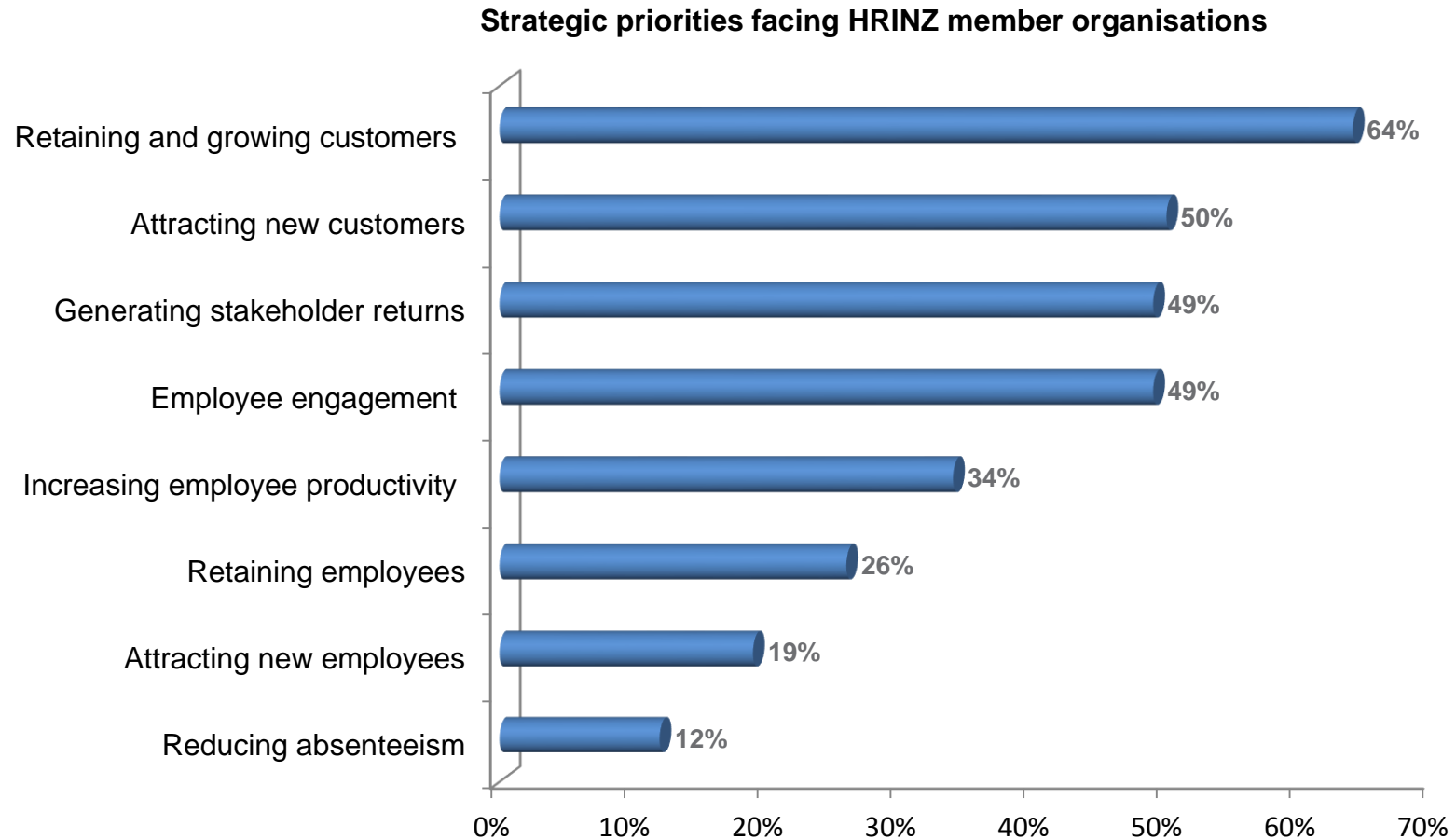


# What's measured?





# Strategic priorities for New Zealand businesses



## People metrics insights

### *Turnover*

14%  
the average  
voluntary  
turnover in the  
last 12 months



*“Turnover costs for many organisations are very high and can significantly affect the financial performance of an organisation. Offering benefits like health insurance will definitely have a positive impact.”*

People metrics insights  
*Productivity*

The annual value  
creation per employee  
of those surveyed was

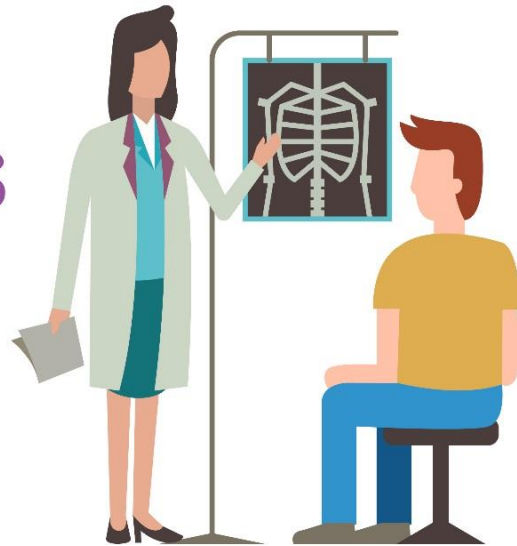
**\$593,750**



## People metrics insights *Absenteeism*

**8 days**

is the average number of absentee days per employee



**74%** of absentee days personal in nature



**26%** used for caring for family members

People metrics insights  
*Engagement*

9/10

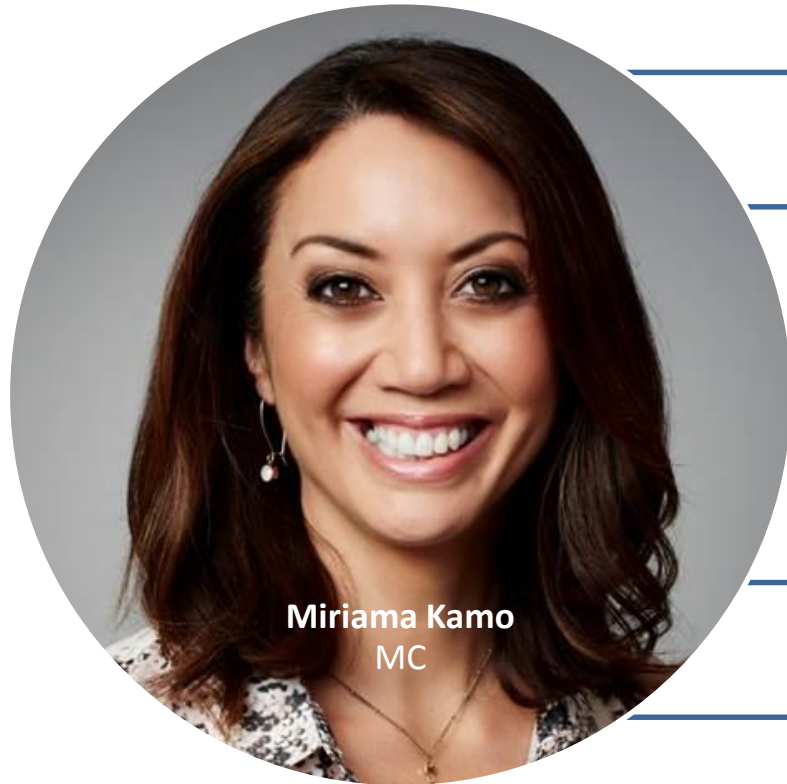
believe employer funded  
health insurance has an  
impact on **employee  
engagement**



*“Employees who feel their organisation cares about their wellbeing feels a stronger connection to the organisation and in turn increases employee engagement. Fostering positive relationships and environments”*



Wellbeing now conference – 3 November  
*People, place and performance*



**Miriama Kamo**  
MC



**Ryan Piceralla**  
Wellness Council of America



**Andrew Eagling**  
Fitbit



**Dr Tom Mulholland**  
Health Innovation Centre



**Niki Bezzant**  
Healthy Food Guide



**Lisa Carrington**  
Olympian

# Thank you



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# APPRAISAL TIME

