

## Road to Performance Management: Part 1 – Site Architecture

### Why use SharePoint for Performance Management?

Document Management represents a significant challenge to many organizations. Secure, compliant, and legally binding Document Management (e.g., Performance Management) then becomes a mammoth undertaking. By considering a document's requirements and role within an organization and applying the correct architectural model in SharePoint, we can achieve outstanding results.

I have identified three main content architecture designs in Microsoft Office SharePoint Server (MOSS) that I use often.

1. **Sole Source** – the sole source design model uses a single list or library to store content separated by metadata or content type. The metadata or content type allows users to filter for content important to them. Doug Cornelius wrote a great example [here](#). This model works well for a focused group of authors creating public content.
2. **Publishing** – the publishing model utilizes content types to aggregate content from *disparate* content repositories. In this scenario, multiple authors with their own list or library contribute to lists of content organized by topic. This model works well for a decentralized group of authors creating public content.
3. **Pyramid** – the pyramid model utilizes granular permissions to allow disparate authors to create content in a decentralized environment while allowing visibility to users in special permission groups. Content authors only have access to their own content but supervisors have visibility to all authors they manage. This model works well for securing private content among a large, decentralized group of authors while allowing special groups access.

### Why not use custom lists, they're way better than clunky documents?

Documents in SharePoint offer three unique functions we want for successful Performance Management.

First, we have a document previewer for Outlook. We want employees and managers to consider their goals and objectives every day and provide feedback at least weekly. Using Word documents allows our employees to see important performance documents in Outlook, where they already manage email, tasks, and contacts, or on the Performance Management web site.

Second, Word documents allow offline access to Performance Management documents. Managers can put careful thought into each performance document using the best client application tools available. Supervisors and employees who travel will not need to play "catch up" with their performance documents when they return to the office, their current versions will synchronize through Outlook.

Third, documents have the "Send-to" feature enabled out-of-the-box. This feature allows us to setup an audited document repository (in a separate Records Management site collection) to hold old employee assessment documents. We want to keep these documents for legal reasons but our supervisors should

not review any document older than one year during the current review period (this reduces bias in the review process).

### **Pyramid—don't you mean funnel?**

In many applications of MOSS, permissions follow a funnel shape: top-level sites allow large groups of users to access content while lower-level sites restrict permissions to smaller sub-sets of users. This usually serves to protect special permission rights like *edit* and *approve* while allowing most users *view* access to the content. The pyramid works in the opposite direction and serves to protect all levels of content access. To create a pyramid we rely heavily on SharePoint's ability to security trim list and library objects based on user context.

Create a document library where only Manager A has access and place document X in that library, only Manager A can read or edit document X. Now, add a folder to that library and add Employee B as a viewer. Employee B can read the contents of the folder but still cannot access document X. The pyramid approach starts with little or no access for most users and gradually relaxes permissions on an as-needed basis.

### **Why use the "pyramid approach" for Performance Management?**

To create a Performance Management application in MOSS we need to use a pyramid approach to the content. The pyramid approach will allow supervisors and employees to share access to personal performance information while providing valuable data to higher levels of the organization.

At the top of the pyramid, HR and the CEO will share access to all performance-related content. At each level of the organization, individuals will have access to all content produced by the employees they supervise and their own performance-related content. This structure allows the company's decision-makers access to performance data at all times while preserving personal privacy among peers.

HR representatives must be included in the highest level of the pyramid to ensure that all performance content adheres to company standards. The high level of visibility into the Performance Management process will help insulate the company from litigation and compliance issues.

## Road to Performance Management: Part 2 – Site Design

### Performance Management Site Map Guide

Before I detail the inner-workings of this site design, I want to address some common questions you may have after a first glance at the site map.

#### What's with all the crazy site lookup columns?

Good Performance Management programs help employees and supervisors develop performance objectives that *align* to organizational goals. In addition to employees knowing how their contribution affects the organization, decision-makers gain valuable insight into their organization's progress toward institutional goals through reporting. Alignment also helps supervisors and employees “change gears” quickly if an organizational goal changes due to environmental factors like new regulation or competition.

#### What happened to the Planning, Check-in, and Assessment sections?

These sections represent proprietary content that will be unique to the organization's Performance Management program. Legal considerations, industry standards, and cultural setting will play a large role in developing a good Performance Management program. The content areas of this document only serve as an example of how organizations could use SharePoint to manage Performance Management documents.

#### Ok, I'm sold, how many developers do I need to make this happen?



















I designed this concept as a *no-code* option for Performance Management. If your organization has developers available to work on a project like this, there are, of course, areas for improvement. For example, a master-child custom data type that allows complex mappings to goals could make data input less error-prone and offer greater flexibility in reporting. You only need a MOSS environment, an administrator, and a few well trained “power users” to get going.

More importantly, if you do not currently have a Performance Management program, you will need a team of experienced managers, human resources specialists, and possibly consultants to create one. The business tasks of a Performance Management project will take longer to develop, test, and implement than the technical portion covered here.

#### This idea is horrible, but where did you get those awesome icons and that killer map?

You can find the free Silk icon collection at <http://www.famfamfam.com/lab/icons/silk/> and IcoFX, a free utility to convert the .PNG files to .ICO files, at <http://icofx.ro/>. You can then add the ICO-format icons to MindJet's MindManager Pro ([www.mindjet.com/](http://www.mindjet.com/)) to get professional-looking site maps for all of your projects.

## Legend

-  Home – the top level of the site collection
-  Web Site – a site or subsite in MOSS
-  Web Page – a page used to aggregate information, may be core functionality or custom
-  Library – a document library
-  Folder – a folder within a list or library
-  Frequency Varies by Org – may need multiple objects to reflect the organizational structure
- << >> Insert Proper Name – an object named after a person or group
- ( ) Child Content Type Based on Org Hierarchy – A content type based on a parent type
-  Anonymous Access – All authenticated users
-  Admin access only – List, library, and site administrators
-  Expanded permissions – Additional permissions added to “Admin access”
-  Audited – a controlled artifact
-  Document – document generated by Word
-  List – a SharePoint list
-  Date Metadata – date
-  KPI Metadata – metadata that could drive a KPI if needed, such as status
-  Lookup Metadata – site lookup column
-  Percentage Metadata – percentage
-  Rating Metadata – a system of ranking
-  Time Period Metadata – time periods based on date, choice, or lookup column

# Performance Management

---

## I. CEO Coaching

The CEO creates a library in the Performance Management site collection for company performance documents (“CEO Coaching”) and a folder for each employee responsible for a business unit. Only the CEO, HR, and site administrators have access to this library.

### A. Company Performance

In this folder, the CEO keeps company goals and company accomplishments. The CEO adds read-only permissions for all authenticated users.

#### 1. Company Goal

Once the company achieves a goal, the CEO changes the content type to company achievement. Because the site lookup column uses the document title, title all company goals “[X]” where X is the goal or document title. This will help users differentiate company goals from personal goals in the Company Goal Alignment field’s drop down list.

##### a) Status

This metadata column uses the default list of statuses.

##### b) Target Date

##### c) Priority

This metadata column uses the default list of priorities.

##### d) % Complete

#### 2. Company Achievement

##### a) Fiscal Quarter/Year

## B. <<Unit Lead>> Performance

The CEO creates a folder for each business unit’s lead and adds that user as an approver.

#### 1. (Unit Lead) Employee Performance Objective

Employee Performance Objectives and organizational goals share the same metadata columns although the document template may differ. The Unit Lead Employee Performance Objective content type inherits properties from the Employee Performance Objective and adds the Company Goal Alignment site lookup column.

- a)  *Status*
- b)  *Target Date*
- c)  *Priority*
- d)  *% Complete*
- e)  *Company Goal Alignment*

## 2. **Employee Development Objective**

Employee Development Objectives focus on the employee's continued development and therefore do not need a percent complete metadata column.

- a)  *Status*
- b)  *Target Date*
- c)  *Priority*

## 3. **Employee Assessment**

The supervisor completes the Employee Assessment and starts an approval workflow for the employee and HR to approve. After approval, HR uses the send-to feature to archive the assessment and audit future access.

- a)  *Rating*

The rating metadata column uses a 5-point list of terms defined by HR. The definition for each term resides in a list at the site collection level.

- b)  *Fiscal Quarter/Year*

## II. **Business Units**

This public area represents a web page displaying the list of business units.

### A. **(Unit A)**

Each business unit will have a public site under the Performance Management site collection. Rename this Unit with the name of a real business unit. Create a copy of this section for each unit in the organization.

#### 1. **Unit Lead Coaching**

The unit lead creates a library for unit performance documents and a folder for each manager of the business unit. Only the CEO, HR, the Unit Lead, and site administrators have access to this library.

- a)   *Unit Performance*

In this folder, the unit lead keeps unit goals and accomplishments. The unit lead adds read- only permissions for all authenticated users.

(1)   Unit Goal

Because the site lookup column uses the document title, title all unit goals “[X]” where X is the goal or document title. This will help users differentiate unit goals from personal goals in the Unit Goal Alignment field’s drop down list.

- (a)  Status
- (b)  Target Date
- (c)  Priority
- (d)  % Complete
- (e)  Company Goal Alignment

(2)  Unit Achievements






- (a)  Fiscal Quarter/Year

b)    <<Manager>> Performance

The unit lead creates a folder for each manager and adds that user as an approver.

(1)    (Unit A) Employee Performance Objective

Each business unit needs a content type that inherits properties from Employee Performance Objective with the additional site lookup column linked to the unit’s library of goals.

- (a)  Status
- (b)  Target Date
- (c)  Priority
- (d)  % Complete
- (e)  (Unit A) Goal Alignment

Each unit will need a (Unit A) Goal Alignment site lookup column where (Unit A) is the name of the unit. This column will allow employees and departments to align their objectives with unit goals.

(2)   Employee Development Objective

- (a)  Status
- (b)  Target Date
- (c)  Priority

(3)   Employee Assessment

- (a)  Rating
- (b)  Fiscal Quarter/Year

## 2. 🌐 🏢 (Department X)

Each department will have a public sub-site under its unit site.

### a) 🗝️ 📁 🏢 <<Manager>> Coaching

The manager creates a library for department performance documents and a folder for each employee of the department. Only the CEO, HR, the Unit Lead, Manager, and site administrators have access to this library.

#### (1) 👤 📁 Department Performance

In this folder, the manager keeps department goals and accomplishments. The manager adds read-only permissions for all authenticated users.

#### (a) 📄 🏢 (Department X) Goal

Each department will need a (Department X) Goal content type where (Department X) is the name of the department. This content type inherits properties from the Goal content type and uses the (Unit A) Goal Alignment site column where (Unit A) is the business unit the department belongs to. Additionally, because the (Department X) Goal Alignment site lookup column uses the document title, title all department goals “[X]” where X is the goal or document title. This will help users differentiate department goals from personal goals in the (Department X) Goal Alignment field’s drop down list.

- (i) 🟡 Status
- (ii) 📅 Target Date
- (iii) 📄 Priority
- (iv) 📊 % Complete
- (v) 🏢 🏢 (Unit A) Goal Alignment

#### (b) 📄 Department Achievement






- (i) 📅 Fiscal Quarter/Year

#### (2) 🗝️ 📁 🏢 <<Employee>> Performance

The manager creates a folder for each employee and adds that user as an approver.

(a)    (Department X) Employee Performance Objective



Departments will each have an Employee Performance Objective content type based on the Employee Performance Objective that adds the (Department X) Goal Alignment site lookup column.

- (i)  Status
- (ii)  Target Date
- (iii)  Priority
- (iv)  % Complete
- (v)  (Department X) Goal Alignment

(b)   Employee Development Objective

- (i)  Status
- (ii)  Target Date
- (iii)  Priority

(c)   Employee Assessment

- (i)  Rating
- (ii)  Fiscal Quarter/Year

### III. Lists

- A.  Ratings
- B.  Review Periods
- C.  Terms and Definitions
- D.  Links

### IV. Documents

- A.  Document Templates

### V. Planning

### VI. Check-in

### VII. Assessment