

MANAGING COMPENSATION, PERFORMANCE & CAREER PATHS



YOU CAN'T MANAGE WHAT YOU CAN'T MEASURE



COMPENSATION



PERFORMANCE



CAREER GROWTH

How to MANAGE Your Team

- ❑ Overcome Mindset Blocks



- ❑ Receive Leadership & Management Training



- ❑ Set Clear Roles



- ❑ Build Compelling Culture



- ❑ Set growth strategy and clear goals



How to REWARD Your Team

- ❑ Define Compensation



- ❑ Include Perks & Benefits



How to GROW Your Team

- ❑ Allow for Professional Development



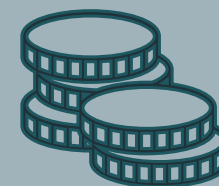
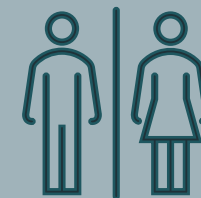
- ❑ Create Career Paths



- ❑ Check in Regularly



MINDSET



MANAGING PEOPLE IS A BUSINESS SYSTEM

Job Descriptions

Sample Administrative Assistant

Job Description

The below is a sample of an administrative assistant job description. Customize this job description with the needs of your firm, business and applicable regulatory one to two years.

Job Title: Administrative Assistant Status: Hourly/Nonunion Reports To: Business Manager

Impact, Purpose & Outcome

The Administrative Assistant is a servant leader who supports the firm's overall operational efficiency as well as the client experience. Using strong communication skills and a professional demeanor, the position supports other team members and the office as a whole by providing exceptional service both internally and externally. The position is the primary advocate within the firm. Success in this role results in the following outcomes:

- Administrative and operational tasks are completed in a precise, efficient, accurate and timely manner – the little things don't fall through the cracks.
- The capacities of the CEO and team members are improved because of the administrative items they are able to delegate successfully.
- Efficiencies in the office are identified, and recommendations for improvement are shared with leadership.
- The team, clients and visitors feel welcome and those positive first impressions when they enter or communicate with our office.
- Filing, technology needs, and client meetings and travel arrangements are proactively addressed and self-coordinated.

Key Responsibilities

The Administrative Assistant thrives in a fast-paced environment and maintains a positive and poised attitude at all times. This individual consistently applies good judgment, critical thinking and problem-solving skills in order to manage multiple schedules, projects and priorities while paying attention to details. Effective communication key skills being a team player to support the administrative needs of our team.

Administrative Support Duties

- Serves as first point of contact for the firm, both in person and virtually, and always demonstrates a positive and upbeat attitude.
- Provides exceptional administrative support to our CEO and completes special projects as requested.

Compensation Plan

Value of your 2020 total rewards package:

EARNINGS: Current Annual Income \$50,000.00
2020 Bonus \$2,096.88
Your total earnings \$52,096.88

BENEFITS: **Retirement:** Medical \$5,081.58
Dental N/A
Vision N/A
Life Insurance \$123.00
Short/Long-Term Disability \$321.48

Statutory Benefits: Social Security/Medicare \$3,695.38

Retirement: 401k estimated match \$1,999.92
2020 Profit Sharing Contribution \$4,387.31

Other Company Provided Benefits: Employee Assistance Program (EAP) Provided for you
Cell Phone Reimbursement \$620.00
Health & Wellness Reimbursement \$1,000.00

Your total benefits \$7,075.55

TIME OFF: Paid Time Off/Sick Leave \$3,724.15
Holidays \$1,923.08

TOTAL COMPENSATION BREAKDOWN

YOUR 2020 TOTAL COMPENSATION PACKAGE VALUE: \$75,094.78

Performance Reviews

Performance Review Form

Team Member: _____ **Reviewer:** _____ **Review Date:** _____

Reviewed by: _____ **Today's Date:** _____

I YOU MAKE A DIFFERENCE!

EVALUATION OF OBJECTIVE PERFORMANCE

Please complete the following evaluation of yourself and the work you manage or handle. Be honest and thorough! Your answers will be reviewed alongside your team leader's actual responses during your Review Meeting. We hope this activity will allow you some self-reflection, while also enabling you to have an active discussion regarding your role and contribution.

PERFORMANCE RATING WILL BE COMPLETED DURING YOUR REVIEW MEETING!

1 - Unsatisfactory - Unacceptable performance suggesting lack of skill, interest and ability to perform the requirements of the position.

2 - Marginal - Fulfills many duties in a capable manner, meets some goals and objectives, but requires improvement to achieve overall acceptable performance.

3 - Acceptable - Consistently performs most duties of the position in a capable manner, meets expected criteria for quality, quantity, timeliness and meeting goals and objectives.

4 - Above Expectation - Consistently exceeds the expected criteria for the position, quality, quantity and timeliness, consistently exceeds goals and objectives.

5 - Exceptional - Consistently far exceeds all expectations; always achieves exceptional results well beyond those expected.

Area	PROFESSIONAL	Team Member	Team Leader
Expertise	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Reliability	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Team Minded	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Task Efficiency & Timeliness	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Professional Demeanor	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Software	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Firm Function	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Firm Policies	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Area	COMMUNICATION	Team Member	Team Leader
Communication Dynamics	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Listening & Expressing	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5
Preparation Skills	1 2 3 4 5	1 2 3 4 5	1 2 3 4 5

Team Check-In Form

Team Check-In Form

The following pages include a sample and template quarterly check-in form for you to use in your professional development process.

NAME: _____ DATE: _____

INTEGRITY **INITIATIVE** **TEAMWORK** **COMMITMENT** **QUALITY**

Exceeded all: Meet 2-3 benchmarks or values aligning with team. Room for improvement: Meet 1 benchmark or where work could more closely align with values.

Key Outcomes: Meet 2-3 specific outcomes of key successes, contributions or improvements the team member made since the last check-in.

Review of Last Quarter Goals: What progress goals projects or activities did you achieve after last quarter's check-in? What is the status update on ongoing goals?

Upcoming Goals: What upcoming goals, projects or priorities do you want to set for the next quarter? The number depends on the time between check-ins and the start of the goal but it is typically a good practice to meet once a week, discuss progress for goals, measure to see what it equates to get there.

Career Pathing

DESTINY CAPITAL MARKETING POSITION

COORDINATOR	MANAGER
Investment News: \$47,000	Investment News: \$61,750
Banking Salary Avg: \$45,000-\$49,000	Finance & Banking Salary Avg: \$52,000
Salary Range: \$42,000 - \$60,000 all in	Broad Salary Range: \$40,000-\$80,000
	More Agency
writing content for materials	Must display an understanding of our brand and
ers with day to day marketing tasks and projects and activities as requested	Managing all marketing for the company and act marketing
tion of branded items such client materials, e-	Developing the marketing strategy for the compa company objectives
y coordinating and collating content	Co-ordinating marketing campaigns with sales e
marketing communications, such as flyers, on-related projects	Overseeing the company's marketing budget

Prof. Development

BUILDING A PROFESSIONAL DEVELOPMENT PROCESS

Best Practices Guide & Resources

DEFINE THE ROLE



KEY RESPONSIBILITIES



DESIRED OUTCOMES



STATUS, LOCATION, AND HOURS



EXPERIENCE AND QUALIFICATIONS

Sample Financial Advisor Job Description
The below is a sample of a Financial Advisor job description. This sample includes some business development responsibilities that may be included or removed based on your firm requirements. Review and update roles every one to two years.

JOB TITLE: Financial Advisor (Level II) STATUS: Exempt
REVISION DATE: 7/7/2020 REPORTS TO: CEO

Impact, Purpose & Outcomes
The Financial Advisor's main goal is to deliver simple, personal, and straightforward solutions to help clients achieve their goals. In doing so, they will create fun, engaged clients that have gained clarity, confidence and peace of mind. This role supports the growth and development of the business and team. Success in this role will result in:

- Authentic, long-lasting relationships with clients
- Educated and informed clients who feel confidence and peace of mind
- Financial planning advice / recommendations and investment performance meets firm standards and keeps clients on track to achieve their goals
- A high-achieving support team under this role that is satisfied with their
- Client retention of 90% or better
- Manage and oversee \$K in managed revenue / X client relationships
- New clients and business generation of \$K
- Consistent client referrals (X per year)

Key Responsibilities
The financial advisor recognizes that our most important asset is our clients, craft thoughtful strategies to help each individual achieve their financial goals, uses a comprehensive understanding of financial planning and the markets to existing clients while cultivating referrals and prospective clients.

- Own full cycle of client relationships from initial strategy discussion to ongoing review meetings of financial planning, insurance, and investments
- Effectively manage profitable client base and oversee management of client relationships
- Assess client's financial circumstances and investment objectives
- Build and deliver comprehensive planning and investment recommendations that are aligned with the individual financial goals and objectives of clients
- Perform ongoing financial planning analyses, including tax, cash flow, retirement, estate planning, and insurance
- Embrace the investment strategy of the organization, providing

Sample Client Service Associate Job Description
The below is a sample of a senior financial advisor job description. Customize this to align with the role in your firm. Review and update roles every one to two years.

JOB TITLE: Client Service Associate STATUS: Exempt
REVISION DATE: 7/7/2020 REPORTS TO: Business Manager

Impact, Purpose & Outcome
The purpose of this role is to create satisfying experiences for clients, making them feel like they are our only client. This role sets the tone for the firm's relationship with clients and is integral to the delivery of an amazing client experience. The operations support of this position, clients wouldn't achieve their Success in this role will result in:

- Authentic, long-lasting relationships with clients
- Clients who rave about the level of support they receive
- Consistent, accurate and timely execution of client service and client items
- Less than X client complaints regarding errors / paperwork processing per year
- Client retention of 90% or better
- Consistent client referrals (X per year)

Key Responsibilities
The Client Service Associate implements, maintains, client service, preparing reports, and schedules and prepares) on action items.

- Builds and maintains that
- rit phone
- new client assistance
- gibilities
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Sample Associate Advisor Job Description
The below is a sample of an associate financial advisor job description, which typically has limited business development responsibilities. Review and update roles every one to two years.

JOB TITLE: Associate Financial Advisor (Level I) STATUS: Exempt
Revision Date: 7/7/2020 Reports To: Senior Advisor

Impact, Purpose & Outcomes
The Associate Advisor's top priority is supporting advisors, along with the financial planning and investment processes, to ultimately ensure clients achieve their goals. The end result is a fulfilled and engaged client that has gained clarity, confidence and peace of mind. The end result is to advance in the role and learn the comprehensive necessary to become a fully independent advisor. Success in these areas will result in:

- Authentic, long-lasting relationships with clients
- Educated and informed clients who feel confidence and peace of mind
- Consistent, accurate and timely execution of client service, materials, analysis and plans needed to help clients achieve their goals
- Client retention of 90% or better
- Maintain up to \$K in house accounts / X client relationships
- Consistent client referrals (X per year)
- Expertise of financial planning and investment expertise and knowledge

Key Responsibilities
The Associate Advisor position contributes to the firm's growth by ensuring exceptional service for both existing clients and prospects. This role demonstrates competency in investment and planning processes to develop financial plans and partner with advisors and team members to address the specific needs and service issues of clients, as well as acting as relationship manager for house accounts and clients below \$100K in AUM.

Supporting the Financial Planning & Investment Processes

- Coordinate financial plan development, including initial financial plan data entry, and working with financial advisor to develop recommendations
- Create quarterly and/or annual client summaries of net worth, estate distribution, insurance, income tax, cash flow projections, and investments.
- Monitor client financial plan and advise on changes that are necessary
- Place trades as directed by supervisor / coordinate with investment management team to ensure execution of investment strategy
- Adhere to all compliance/risk procedures, follow corporate and industry protocols, and protect the interest of the client and the firm at all times

Sample Business Manager Job Description
The below is a sample Business Manager job description. In larger firms, this is a dedicated management position. In smaller firms, it is typically a hybrid role of office manager and senior client service role. Customize this to align with the role in your firm. Review and update roles every one to two years.

JOB TITLE: Business Manager STATUS: Exempt
REVISION DATE: 7/7/2020 REPORTS TO: CEO

Impact, Purpose & Outcomes
The purpose of this role is to be a leader of the firm to deliver impeccable client service and create an environment that fosters team work, positive attitudes and support of the firm values and mission. The implementation of business systems creates a sustainable and profitable environment that makes the roles of each team member easier and more enjoyable. Success in this role will result in:

- A strong and positive team culture with happy, high performers that demonstrate professional development
- Improved CEO capacity because of the ability to successfully delegate day-to-day business management
- Clients who rave about the level of support they receive
- Consistent, accurate and timely execution of client service and operations items
- A high-achieving support team that is satisfied with their leader
- Personal issues and conflicts addressed and resolved efficiently in a professional manner
- Client retention of 90% or better
- Less than X client complaints regarding errors / paperwork processing per year
- Consistent client referrals (X per year)

Key Responsibilities
The Business Manager maintains primary responsibility for overseeing all administrative functions and ensuring smooth and efficient operation of the firm including administration, office operations, human resources, finance, technology and marketing. This role works to develop and maintain effective, sustainable and profitable business operations for the firm, as well as works closely with management to direct, manage and oversee business strategy and firm-level projects that impact firm success, team performance and client experience.

Business Operations & Administration

- Design, implement and oversee key business systems, standards and rules for business operations.
- Fulfill and provide back-up support for client service and operations responsibilities as needed
- Delegates lower-level responsibilities to team to avoid bottleneck
- Act as relationship manager for strategic alliances and vendors to coordinate relevant business initiatives.

Sample Administrative Assistant Job Description
The below is a sample of an administrative assistant job description. Customize this to align with the role in your firm. Review and update roles every one to two years.

JOB TITLE: Administrative Assistant STATUS: Hourly, Nonexempt
Revision Date: 7/7/2020 Reports To: Business Manager

Impact, Purpose & Outcomes
The Administrative Assistant is a servant-leader communication skills and team member.

supports the firm's overall position supports other regional services both locally within the firm

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arguments are

not

DEFINING YOUR COMPENSATION MODEL



Compensation philosophy



Position compensation

- Industry benchmarks
- Market conditions
- Financial resources



Include all forms of compensation

- Work location (remote is a perk)
- Flexible hours / work schedule
- Cash compensation
- Holiday time
- Bonuses
- Noncash perks
- Work-from-home benefit
- Hybrid work
- PTO



COMPONENTS OF COMPENSATION

BASE

SET BY CAREER LADDER

BONUS

INDIVIDUAL PERFORMANCE
 TEAM PERFORMANCE (AS APPLICABLE)
 FIRM PERFORMANCE

BENEFITS

HEALTH CARE
 HEALTH & WELL-BEING
 CATERED MEALS
 CONTINUING-ED ALLOWANCE
 ...and more!



Value of your 2020 total rewards package:

EARNINGS: Current Annual Income	\$50,000.00
2020 Bonus	\$2,096.88
Your total earnings	\$52,096.88
BENEFITS: <i>Assurance</i>	\$5,081.58
Medical	N/A
Dental	N/A
Vision	\$123.00
Life Insurance	\$321.48
Short/Long-Term Disability	
Statutory Benefits:	\$3,695.38
Social Security/Medicare	
Retirement:	\$1,999.92
401(k) estimated match	\$4,387.31
2019 Profit Sharing Contribution	
Other Company Provided Benefits:	Provided for you
Employee Assistance Program (EAP)	\$620.00
Cell Phone Reimbursement	\$1,000.00
Health & Wellness Reimbursement	\$70,725.55
Your total benefits	\$3,846.15
TIME OFF: Paid Time Off/Sick Leave	\$1,923.08
Holidays	
TOTAL COMPENSATION BREAKDOWN	
YOUR 2020 TOTAL COMPENSATION PACKAGE VALUE:	\$75,094.78

Individual Compensation Summary

The below is a sample individual compensation summary. Details should be customized to reflect your firm compensation policies and compensation component specific to the position. Update this form when compensation changes occur, either through promotion or as part of an annual compensation review process.

Job Title: [Insert position name]
Employee Name: [Insert supervisor]

This compensation package is only for the above-listed position and should be used for reference purposes only. It does not reflect a comprehensive description of job responsibilities and does not constitute a contract.

Base Salary: [Insert salary amount] based upon offer of employment and management reviews.

Target Performance Bonus: [Insert bonus amount], distributed annually. The amount received is based upon the firm's achievement of pre-defined goals, your individual performance in your role and assigned quarterly objectives.

Profit Sharing: Funded annually at the discretion of the firm's principals based upon available resources.

Retirement Compensation: 40% available for employee contributions with a match from the firm up to X% of the team member's annual salary.

Medical: 100% of employee's medical premium, not including dependent premiums.

Paid Time Off: 15 days off annually for the first six years, accruing at 1.25 days per month. Team members earn five additional days in five-year increments (20 days during years 7 through 11, 25 days during years 12 through 16, and so on).

Personal and Sick Leave: 1/3 day accrues per month up to a total of six days per year and do not carry over to the next year.

Holidays: 10 paid holidays, which are determined annually.

COMPENSATION

and other forms of motivation and reward



TAKE A HOLISTIC VIEW AND APPROACH



Remember...
if you pay
peanuts, you'll
get monkeys.

MONETARY COMPENSATION & BENEFITS



BASE PACKAGE
Base Salary/Rate



PERFORMANCE
Position and Firm



RECOGNITION
Above & Beyond

PERKS & BENEFITS

There Is More To Compensation Than Money



BENEFITS



PERKS



GROWTH

INDUSTRY COMP

YOU WILL FIND HIRES +/- 30% IN EITHER DIRECTION
IMPACTED BY CANDIDATE QUALITY AND
GEOGRAPHY (IN NONREMOTE ROLES)

POSITION TITLE	ONLINE SALARY SITES	2023 INVESTMENT NEWS STUDY MEDIAN TOTAL TRAD. COMP
Chief Marketing Officer	\$250K	\$246K
Lead Advisor	\$160K	\$172K
Service Advisor	\$125K	\$104K
Chief Operating Officer	\$150K	\$250K
Operations Manager	\$90K	\$110K
Marketing Manager	\$90K	\$73K
Paraplanner	\$60K	\$-
Client Service Assistant	\$50K	\$55K
Operations Assistant	\$50K	\$50K
Marketing Assistant	\$50K	\$50

COMPENSATING TEAMS

CATEGORIES	Individual Performance	Team + Firm Performance	Combined Firm & Team Performance
EXAMPLE POSITION	Administrative / Executive Assistant	Client Service Associate	Operations Manager
BASE	\$40K – \$50K	\$50K – \$60K	\$90K – \$110K
BONUS	10% OF BASE	10% OF BASE	15% OF BASE PROFIT SHARING
ABOVE & BEYOND	Spot Bonuses, Team Recognition, Little Things		
BENEFITS & PERKS	2–3 weeks, plus holidays	3–4 weeks, plus holidays	3–6 weeks, plus holidays
	Health Care / Health Savings, 401k, Education Support		

The above are examples to show varying compensation models; actual data is based on industry ranges and consulting experience. Your compensation plan should be designed to align with your compensation philosophies and ensure competitive pay for your location/market conditions.

COMPENSATING ADVISORS

RULE OF THUMB
 40% OF TOTAL REVENUE
 TO ADVISOR COMP.
 [REVENUE GOAL = MIN 2.5x BASE SALARY]

BONUS STRATEGIES

←						→
[40%] of Revenue Managed	Base + % of Revenue Managed	Base + % of Team Revenue Managed	Base + Bonus			
<p>\$500,000 REVENUE $\times 40\%$ \$200,000</p>	<p>\$500,000 REVENUE</p> <p>Total Possible: \$100,000 <small>LEVEL 1 MAX, 20%</small></p> <p>Max Base (75%): \$80,000</p> <p>Bonus (up to): \$20,000 <small>up to 20% of TRM*, minus base)</small></p> <p>*Total revenue managed</p>	<p>\$1,000,000 REVENUE <small>(assigned \$400,000)</small></p> <p>Total Possible: \$160,000 <small>LEVEL 2 MAX, 30%</small></p> <p>Max Base (75%): Primary (30%): \$120,000</p> <p>Bonus (up to max 30%): \$10,000 2nd chair (5%): \$30,000</p> <p>Bonus: 20-30% of TRM* 10-20% of TRS</p> <p>*Total revenue managed</p>	<p>\$500,000 REVENUE</p> <p>Base: \$140,000 <small>MAX BASED ON CAREER PATH LEVEL</small></p> <p>Bonus: \$10,000</p> <p>Bonus based on achievement of goals or % of goals achieved</p> <ul style="list-style-type: none"> • REVENUE • PROFITS • NEW CLIENTS • AVG. CLIENT SIZE • NPS/SATISFACTION • SOW/REFERRAL GROWTH 			

GROWING YOUR TEAM



CAREER PATHS FOR CLIMBERS



Make "growth & development" a requirement

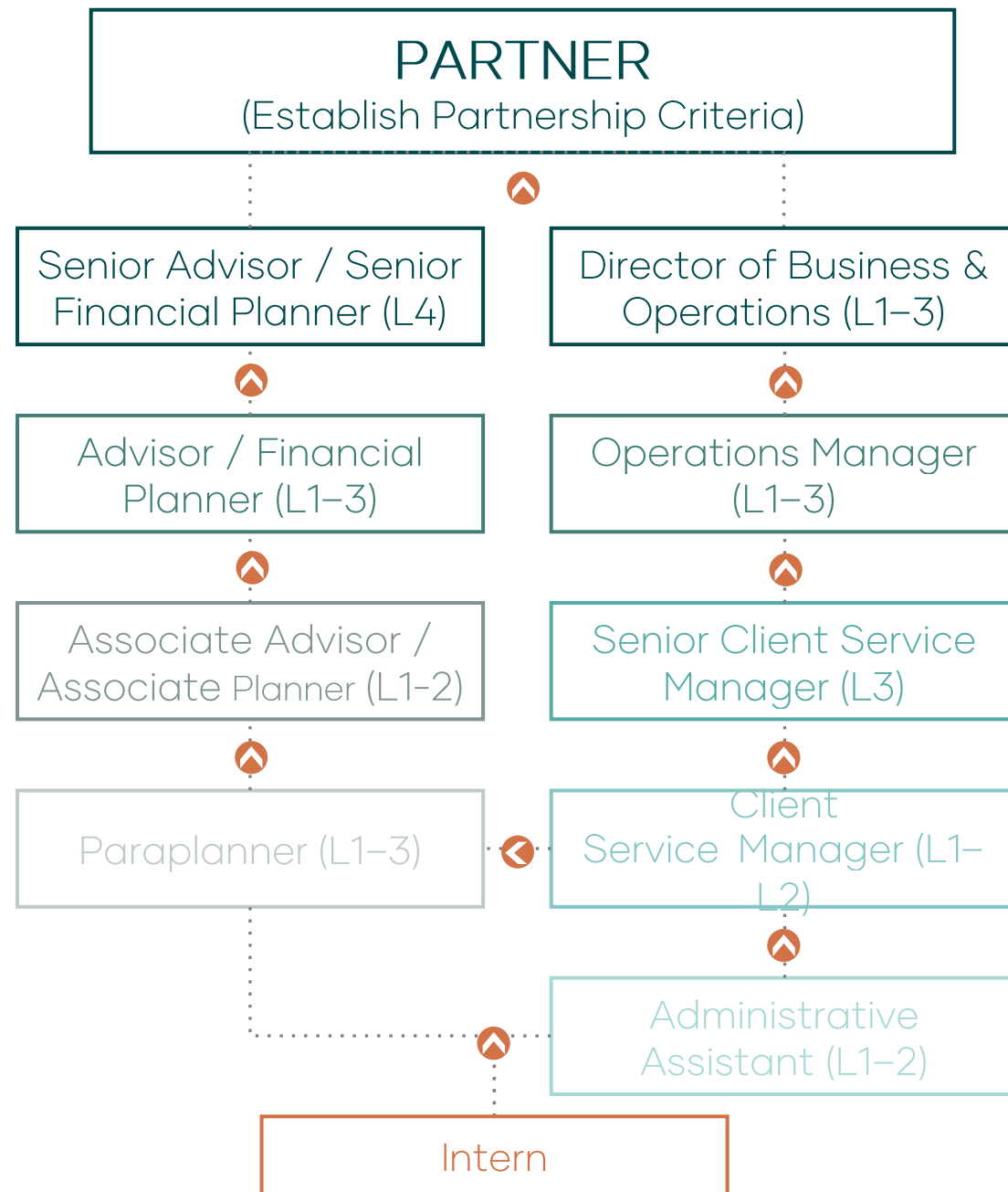


Allocate time for growth

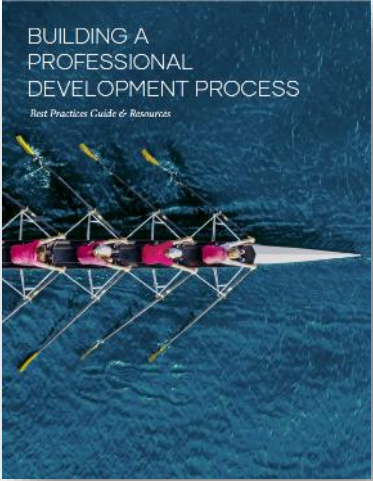


Have ongoing conversations and coaching


CAREER LADDERS CREATING A CLEAR PATHWAY TO GROWTH



GROWTH: CAREER PATHING



DESTINY CAPITAL MARKETING POSITION PATH FOR GROWTH		
COORDINATOR	MANAGER	DIRECTOR
Investment News: \$47,000	Investment News: \$61,750	Investment News: \$72,000
Finance & Banking Salary Avg: \$45,000-\$49,000	Finance & Banking Salary Avg: \$52,000-\$56,000	Finance & Banking Salary Avg: \$70,000-\$74,000
Broad Salary Range: \$42,000 - \$60,000 all in	Broad Salary Range: \$40,000-\$80,000	Broad Range: \$50,000 - \$110,000
Little Agency	More Agency	Agency Oversight
Little requirement on writing content for materials	Must display an understanding of our brand and services	Have advanced knowledge on our brand, services and how to communicate to the market
Assisting team members with day to day marketing tasks and coordinating marketing projects and activities as requested	Managing all marketing for the company and activities within marketing	Planning, developing and implementing effective communication campaigns
Organizing the production of branded items such as client materials, e-mails, etc	Developing the marketing strategy for the company in line with company objectives	Using the full marketing mix for the company communications
Supporting the team by coordinating and collating content	Co-ordinating marketing campaigns with sales activities	Writing copy for all marketing collateral, including letters, emails and websites
Producing additional marketing communications, such as flyers, brochures and exhibition-related projects	Overseeing the company's marketing budget	Understanding the product and customer preferences for each and create supporting marketing materials




Destiny Capital Advisor Career Path

Client Wealth Strategist - Partner
 Key Difference to Level Below -
 • Participates in the growth of the Firm by sourcing new client relationships for the Firm
 Experience -
 • Minimum of 7 years in a client advisory role
 Capabilities -
 • Develops new client relationships for the firm through a channel other than client referrals from existing clients

Client Wealth Strategist
 Key Difference to Level Below -
 • Participates in the growth of the Firm by successfully onboarding new client relationships
 Experience -
 • Minimum of 5 years in a client advisory role
 Capabilities -
 • Capable of onboarding new client relationships with success rates in line with Firm standards

Senior Client Wealth Planner
 Key Difference to Level Below -
 • Is capable of handling the most complex client planning and stressful client conversations independently
 Experience -
 • Minimum of 5 years in a client advisory role
 Capabilities -
 • Capable of handling all client planning and interactions independently

Client Wealth Planner
 Key Difference to Level Below -
 • Responsible for the successful execution of all client service elements for the team, leads and holds others accountable
 Education -
 • CFP full certification
 Experience -
 • Minimum of 4 years in a direct client financial planning role
 Capabilities -
 • Directs all elements of client service work for the client service team



A team of
happy, high
performers
is built on a
culture of...

ALIGNMENT: Share common vision and goals; tie contribution to rewards

INVESTMENT: Involvement equals investment; letting go lets others lead

COMMUNICATION: No mind-reading allowed

COLLABORATION: We get there better together than on our own

ACCOUNTABILITY: Extreme ownership creates radical results

IMPROVEMENT: Continuously improve

PROGRESS: Purpose and progress are proxies for perfection

MANAGING PERFORMANCE



PERSONAL FEEDBACK

Specific
Real-time



CASUAL CHECK-INS

Personal
State
Priorities



FORMAL REVIEWS

Productivity
Performance
Personal attributes

MANAGING PERFORMANCE

WHAT TO COVER DURING CHECK-INS



WHEN PERFORMANCE ISN'T OPTIMAL

WHERE IS THE PROCESS BREAKDOWN?
WHAT'S BENEATH THE BEHAVIOR?
SEEK ALIGNMENT, GET AGREEMENT
SET "WHAT THE ROLE NEEDS" AS
YARDSTICK FOR MEASURING SUCCESS

PROCESS	PERSON
NO PROCESS	WRONG PERSON
PROCESS BREAKDOWN	WRONG TRAINING & SUPPORT
BAD PROCESS	WRONG SEAT

PERFORMANCE REVIEW

INFORMED CHECK-INS USE THIS FORMAT

(Your logo here)

Team Member:		Hire Date:	
Reviewed by:		Today's Date:	

I. YOU MAKE A DIFFERENCE!
EVALUATION OF SELF PERFORMANCE

Please complete the following evaluation of yourself as if you were a manager of this firm. **Be honest and thorough!** Your answers will be reviewed alongside your team leader's actual responses during your Review Meeting. We hope this activity will allow you a time of self-reflection, while also enabling us to have an active discussion regarding your role and contribution.

"OVERALL RATING WILL BE COMPLETED DURING YOUR REVIEW MEETING"

1 - Unsatisfactory - Unacceptable performance suggesting a lack of willingness and/or ability to perform the requirements of the position.

2 - Marginal - Performs many duties in a capable manner; meets some goals and objectives, but requires improvement to achieve overall acceptable performance.

3 - Acceptable - Consistently performs most duties of the position in a capable manner; meets expected criteria for quality, quantity, timeliness and meeting goals and objectives.

4 - Above Expectation - Consistently exceeds the expected criteria for the position, quality, quantity and timeliness; consistently exceeds goals and objectives.

5 - Exceptional - Consistently far exceeds all expectations, always achieves exceptional results well beyond those expected.

Area	PROFESSIONAL	Team Member	Team Leader
Expertise	Exhibits a mastery of knowledge, and an effort to continue educational, technical, and applicable growth in areas of assigned operation.	1 2 3 4 5 □ □ □ □ □	1 2 3 4 5 □ □ □ □ □
Reliability	Is efficient and decisive when working autonomously, and exhibits adequate time management and follow-through skills. Presents for meetings on time and prepared.	1 2 3 4 5 □ □ □ □ □	1 2 3 4 5 □ □ □ □ □
Team Minded	Exhibits a desire to collaborate with peers, team & supervisors to promote team focus, growth, communication & effectiveness.	1 2 3 4 5 □ □ □ □ □	1 2 3 4 5 □ □ □ □ □
Task Efficiency & Timeliness	Is effective in planning, organizing and efficiently handling accurately and with complete work, achieving appropriate at	1 2 3 4 5 □ □ □ □ □	1 2 3 4 5 □ □ □ □ □
Professional Demeanor	Maintains a high level of professionalism when dealing members and outside vendors.	1 2 3 4 5 □ □ □ □ □	1 2 3 4 5 □ □ □ □ □
Software	Exhibits adequate knowledge and understanding of all computer programs, meets standard of use.	1 2 3 4 5 □ □ □ □ □	1 2 3 4 5 □ □ □ □ □
Firm Function	Shows adequate understanding of firm's mission statement function and responsibilities to its clients, firm philosophy.	1 2 3 4 5 □ □ □ □ □	1 2 3 4 5 □ □ □ □ □
Firm Policies	Exhibits an awareness of and adheres to firm wide policy expectations.	1 2 3 4 5 □ □ □ □ □	1 2 3 4 5 □ □ □ □ □

Area **COMMUNICATION**

Communication Dynamics

Able to effectively communicate in both one-on-one or group settings and respects other's input.

Listening & Expressing

Effective in obtaining understanding from others, and ideas, both orally and in writing.

Presentation Skills

Prepares regularly for presentations. Weaves one personal anecdote. Communications effectively with various audiences.

Problem Solving

Takes initiative to present perceived issues, AND problem management.

Reporting

Provides relevant and timely information to management, subordinates and clients.

Seeks Counsel

Readily seeks additional guidance or clarity when encountering ambiguous tasks.

Area **PERSONAL**

Ambition

Shows creativity, initiative, vision and enthusiasm in personal career and firm wide development.

Attitude

Demonstrates a positive, can-do, amiable attitude, especially in challenging, change and constructive criticism.

Appearance

Adheres adequately to company dress code policy and expectations.

Quarterly Peer 360

1. How did you collaborate with this person this past quarter? Please include projects, daily tasks, and on off situations. *

2. How did they provide value or what did they contribute to you and/or the firm in those interactions? How could they have improved? *

3. Behavior *

On a scale of 1 to 5, how much does this person embody our Destiny Capital values? Please feel free to leave specific examples in the comments section.

4. Communication *

On a scale of 1 to 5, how well does this person communicate in written and verbal form? Please feel free to leave specific examples in the comments section.

5. Cultural Impact *

On a scale of 1 to 5, how well does this person positively impact our culture? Please feel free to leave specific examples in the comments section.

Quarterly Self Reflection 360

1. To what extent did you meet your goals? *

2. What area would you most like to improve on in the coming months? *

3. What went well this quarter? *

4. Behavior *

On a scale of 1 to 5, how much do you embody our Destiny Capital values? Please feel free to leave specific examples in the comments section.

5. Communication *

On a scale of 1 to 5, how well do you feel you communicate in written and verbal form with your team and/or our clients? Please feel free to leave specific examples in the comments section.

6. Cultural Impact *

On a scale of 1 to 5, how well do you feel that you positively impact our culture? Please feel free to leave specific examples in the comments section.

7. Potential * On a scale of 1 to 5, do you believe you have growth potential in your role? Please feel free to leave specific examples in the comments section.

Quarterly Manager 360

1. To what degree did the person meet your expectations for their performance? Did they accomplish their goals? *

2. In what areas do you see the most potential for this person? How do you hope to see this person grow over the next 3-6 months? *



1. You make a difference!

Professional performance
Communication
Personal performance
Core capabilities
Core position duties
Additional efforts



2. Where are you going?



3. Tell us about us



4. Your ideas matter!



5. Our team is our biggest asset



LEARN MORE

- *Drive: The Surprising Truth About What Motivates Us*, Daniel Pink
- *The Culture Code: The Secrets of Highly Successful Groups*, Daniel Coyle
- *The Effective Executive: The Definitive Guide to Getting the Right Things Done*, Peter Drucker
- *The Five Dysfunctions of a Team: A Leadership Fable*, Patrick Lencioni
- *Tribes: We Need You to Lead Us*, Seth Godin



ADAPT & APPLY

- Use the Limitless learning resources to adapt and apply what you learn in your practice.
- Follow the Staffing for Success Learning Path for deeper learning.
- Read the Building & Managing Teams Guidebook. Download the resources and samples for reference.
- Read the Professional Development Process Guidebook. Download the resources and samples for reference.
- Reference the Building & Managing Teams lesson for those with teams.



TAKE ACTION

- Use the Limitless learning resources and samples to draft the following to reflect your situation and preferences:
- Draft Job descriptions for each role to define responsibilities.
- Create Career Paths for clear path to create shared ownership of growth.
- Design Firm Compensation Plan to set compensation standards and structure.
- Use Individual Compensation Template for each position.
- Use Performance Review Form and Team Check-In Form to keep communication lines open and encourage collaboration and learning.



LIMITLESS Q&A