

# Continuing Competence and the Human Factor

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# Objectives

- **Discuss what we mean by the “human factor”**
- **Discuss how human factors can get in the way of competence, performance feedback and practice improvement**
- **Consider models for linking human factors and competence assessment and feedback**
- **Discuss potential roles for you as regulators**

# The Human Factor

## Cornered

by Mike Baldwin

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"May I remind you that my core work as a human being remains constant, and isn't tied to external validation."

# The human factor...

- **“Performance appraisal touches on one of the most emotionally charged activities in professional life - the assessment of one’s contribution and ability. The signals one receives about this assessment have a strong impact on self-esteem and subsequent performance”.**  
*Thompson and Dalton, 1970*



# “The Human Factor”

- Our perceptions, self-esteem, beliefs, values
  
- Our emotions

# How human factors can get in the way of competence, feedback and improvement

- A meta-analysis of 600 performance appraisal feedback intervention studies found that in:
  - 1/3 of studies, participants improved,
  - 1/3 stayed the same, and
  - 1/3 decreased performance (Kluger, DeNisi 1996)

# More surprises from the literature

- **Use of performance feedback showed that negative scores:**
  - were not seen as accurate or useful,
  - did not result in increased awareness,
  - resulted in discouragement, anger, de-motivation.
  - suggesting that those who may most need to benefit may be least receptive

**(Brett, Atwater 2001)**

# Emotion and Receiving negative assessment feedback

- **Because performance feedback is about “oneself”,**
  - **it’s emotionally charged and**
  - **it’s more difficult to be objective about it (*Ashford et al 2003*)**
  - **negative feedback can evoke strong emotions such as anger, shame which can interfere with using the feedback for improvement. (*Kluger & DeNisi 1996, Brett et al 2001, Smither et al 2005*)**



# Understanding emotional responses to feedback\*

\* *DeNisi A, Kluger AN. Feedback effectiveness: Can 360-degree appraisals be improved? Acad of Manage Exec 2000; 14(1): 129-139.*

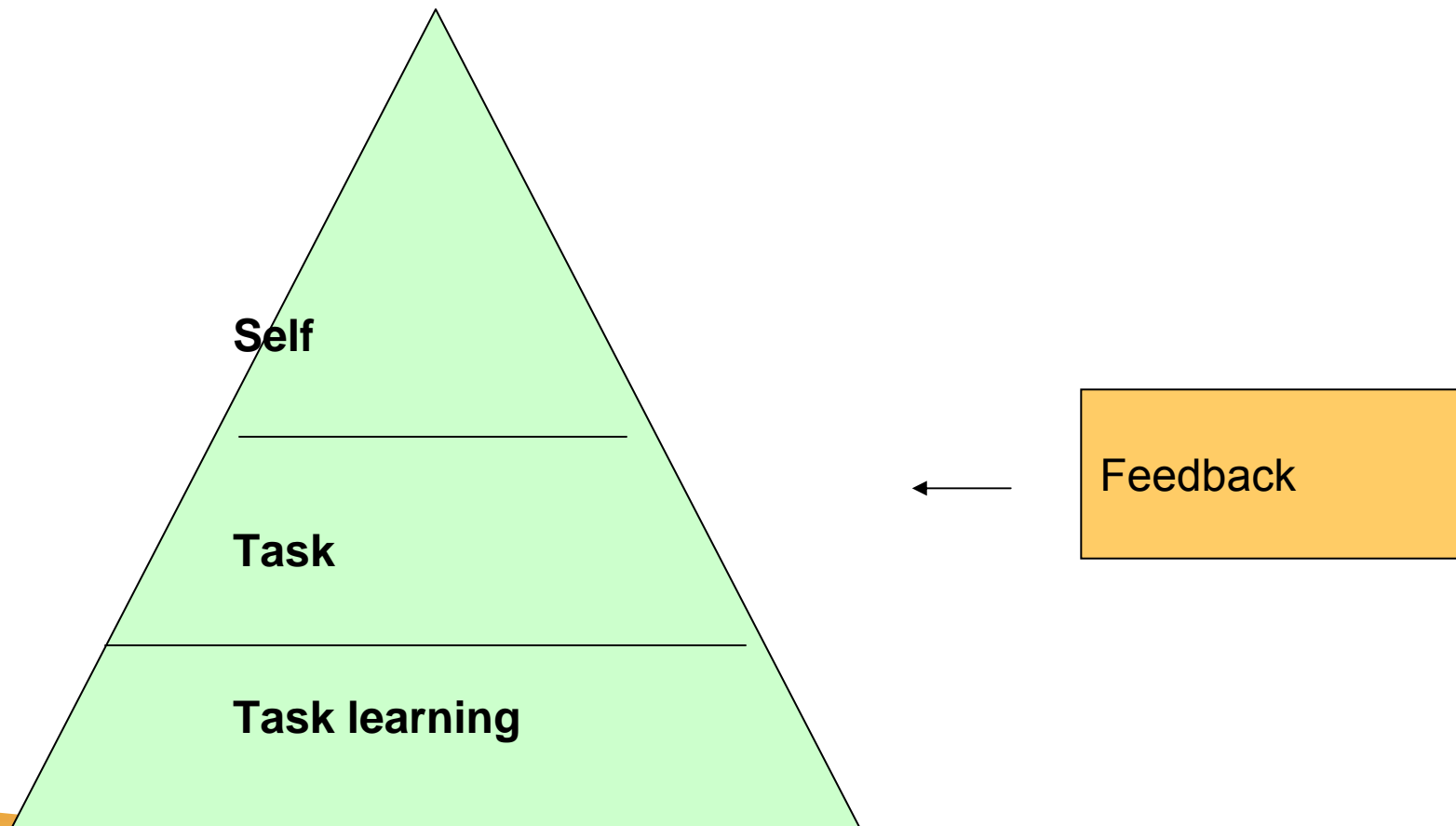
## ■ Model of 3-level hierarchy of performance goals and feedback interpretation:

- Self
- Task
- Task learning

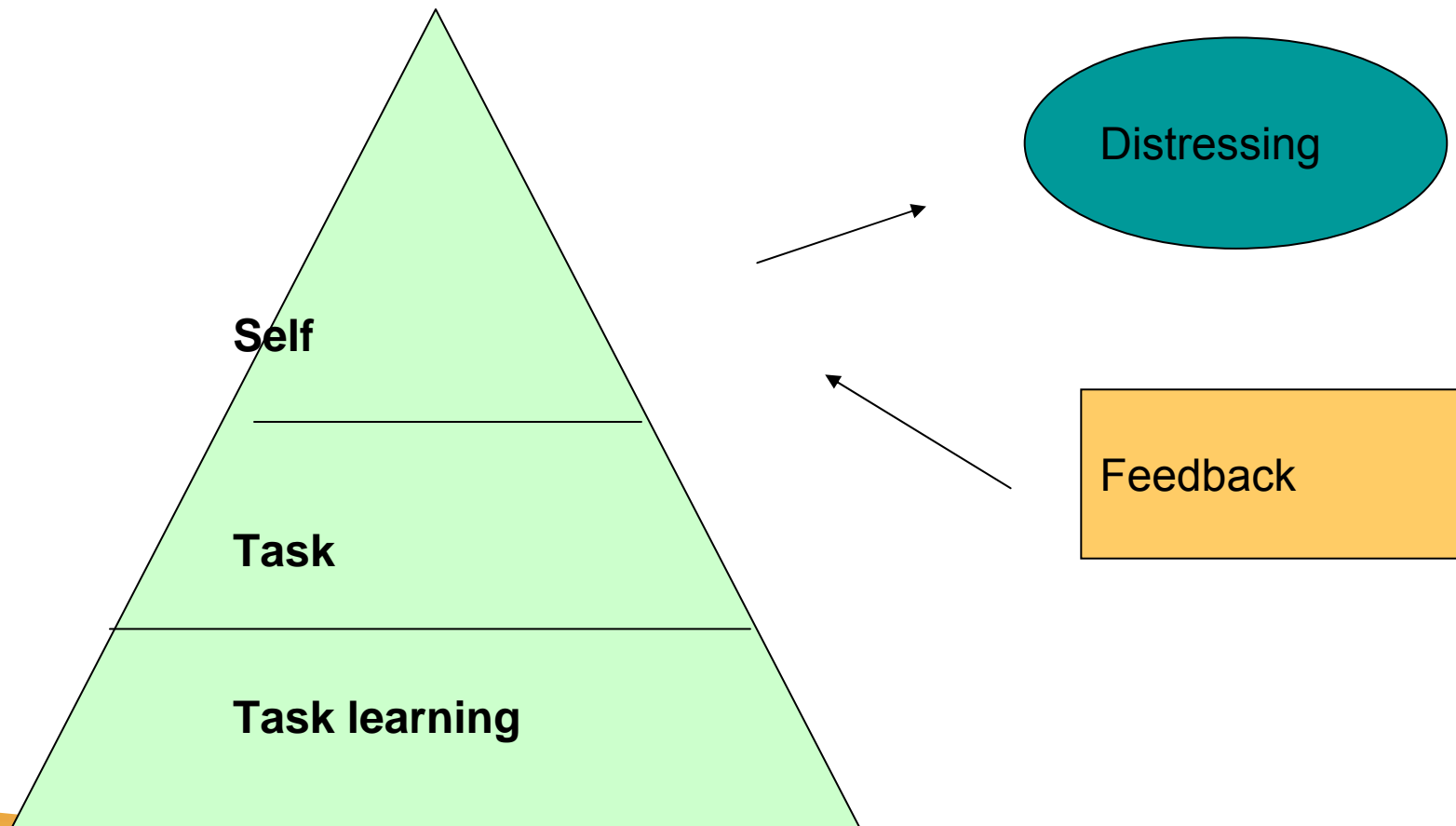
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2007

# Understanding emotional responses to feedback *(DeNisi and Kluger 2000)*



# Understanding emotional responses to feedback *(DeNisi and Kluger 2000)*



# Other human factors influencing one's competence and improvement

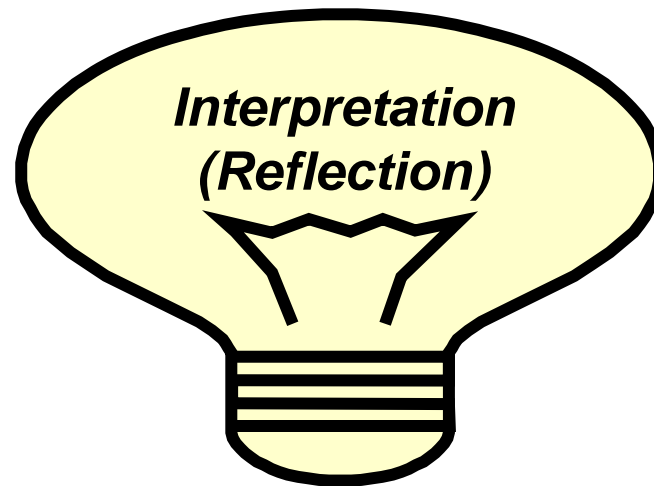
- **Perceptions of intelligence and subsequent self-esteem maintenance** (Nussbaum, Dweck 2008)
  - Fixed - defensiveness
  - Flexible - remediation
  
- **Goal orientation**
  - Learning
  - Performance

# Process of taking on performance feedback

Performance  
FEEDBACK

## Internal factors:

- One's self-assessment
- Gap between SA & feedback
  - Emotional reaction
- Learning vs competence view
- Self-efficacy



Decision to accept or take  
on feedback

## External factors:

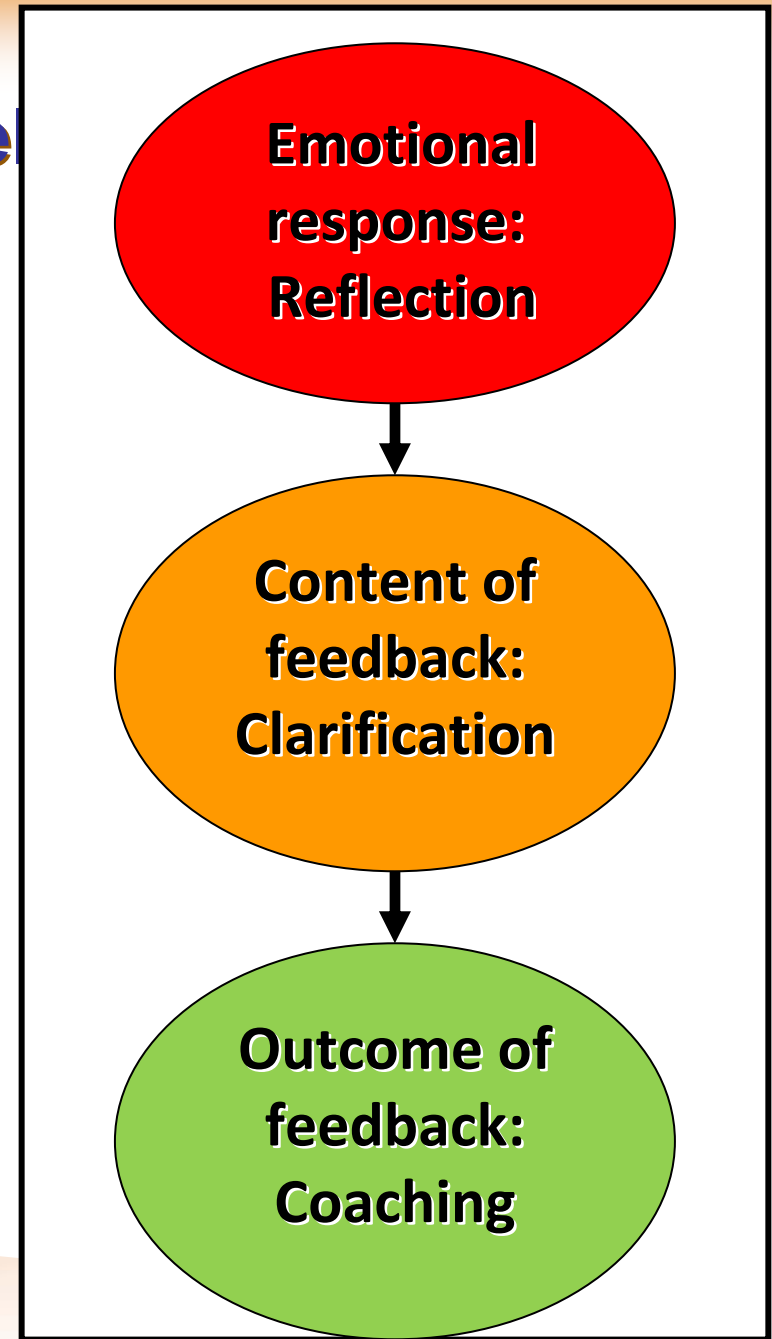
- Data quality
- Credible, fair process
  - Clear standards
- Relationships
  - Culture

Use for learning/improvement

# A model for helping practitioners take on performance feedback

## Feedback: The 'ECO' model

- **E**mootional response
- **C**ontent of feedback
- **O**utcome(s) of feedback
- *Bruce, Sargeant 2008*



## Step 1

**Emotional  
response:  
Reflection**

### ■ Assimilation of emotional reactions

- “It sounds like this feedback was a surprise for you. Can you tell me more about that?”
- “It’s tough to receive receive feedback that differs from one’s own perceptions. Most people find it hard.”
- “We all think we’re doing our best and its hard when others give us a different view.”



## Step 2

**Content of  
feedback:  
Clarification**

### ■ Integration of feedback content

- “How do you see your performance in this area?”
- “How does this feedback fit with your self-assessment?”
- “Is there anything that doesn’t make sense to you?”
- “Tell me in your own words how you think it relates to your performance.”

## Step 3

**Outcome of  
feedback:  
Coaching**

- **Identification of needs for change or improvement (even if performing well)**
  - **“Does any of this feedback suggest a way you might wish to improve what you’re doing?”**
  - **“Most of us can improve in one area or another. What opportunities does this feedback offer for you?”**

## Step 3 cont'd

Outcome of  
feedback:  
Coaching

- **Developing and implementing a plan for change**
  - “What is your goal for change/ your career?”
  - “How might you go about making that change?”
  - “Do you need any resources or additional learning to do that? How will you get them?”
  - “How will you know you’ve succeeded?”

# What does this mean for you as regulators?

- **As you -**
  - **Look at practitioner competency?**
  - **Consider if and how you monitor practitioner competence?**
  - **Think about changes you might consider in your existing process?**

**Thank you.**

- Your thoughts and comments?