Performance Management and Appraisal Training for Managers

Office of Human Resources

April 21, 2017
Training Objectives

• Identify the benefits of performance management
• Prepare you to conduct effective performance conversations with your staff
• Be familiar with the performance appraisal framework and timelines
• Introduce future Performance Management enhancement initiatives
What is Performance Management?

By definition, performance management is an **ongoing** process of **communication** between a supervisor and an employee that occurs throughout the year, in **support** of accomplishing the **strategic objectives** of the organization.

How does that impact your business objectives?
How Performance Management Makes a Business Impact

- Ensures that employees’ work is focused on the right areas to drive our success
- Reinforces a performance-based model where exceptional performance is highly rewarded and best performers are identified
- Fosters employee engagement
- Maximizes work efficiency

Effective Performance Management
What is a Performance Appraisal?

By definition, a performance appraisal is a **formal record** of a supervisor’s **assessment** of the **quality** of an employee’s work **performance**.

How does that impact your employee engagement?
When done well, a performance appraisal...

- Emphasizes the value of an employee’s contributions
- Is balanced, objective, and informative
- Supports performance expectations by providing specific and meaningful feedback
- Engages the manager and employee in developing goals and a career plan
- Creates an environment for collaboration and open communication
- Contributes to employee satisfaction and inevitably the future success of the organization
To better align our performance management and budget processes, we are moving our appraisal completion deadline up to May 26th.

Applies to:
- Benefits eligible Classified and A&P employees with a start date* prior to 3/1 (merit eligible)
- Appraisal review period: June 1, 2016 to May 31, 2017

*Employees with a start date 3/2 or later will complete a 90 or 180-day appraisal (not merit eligible)
Appraisal System: PerformancePro

PerformancePro

Attract | Retain | Engage | Simplify
## Performance Factors: Supervisor/Senior Staff

<table>
<thead>
<tr>
<th>Performance Factor</th>
<th>Weight</th>
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<tbody>
<tr>
<td><strong>Accomplishments:</strong></td>
<td>40%</td>
</tr>
<tr>
<td>• Work Plan, Goals, Duties and Responsibilities/ Other Accomplishments</td>
<td></td>
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<tr>
<td><strong>Accountability:</strong></td>
<td>20%</td>
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<tr>
<td>• Focus on Results</td>
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<tr>
<td>• Quality</td>
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<td>• Reliability</td>
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<td>• Compliance</td>
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<tr>
<td><strong>Knowledge, Skills, and Abilities</strong></td>
<td>20%</td>
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<tr>
<td>• Communication</td>
<td></td>
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<tr>
<td>• Job Knowledge</td>
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<tr>
<td>• Teamwork</td>
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<tr>
<td><strong>Management</strong></td>
<td>20%</td>
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<tr>
<td>• Initiative &amp; Innovation</td>
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<td>• Planning &amp; Resource Stewardship</td>
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<tr>
<td>• Leadership</td>
<td></td>
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<tr>
<td>• Identify, Hire, Develop, &amp; Retain</td>
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</tbody>
</table>
## Performance Factors: Non-Supervisor

<table>
<thead>
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<tr>
<td><strong>Accomplishments:</strong></td>
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<td>• Compliance</td>
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<tr>
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<tr>
<td>• Communication</td>
<td>20%</td>
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<tr>
<td>• Job Knowledge</td>
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<td>• Teamwork</td>
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<tr>
<td><strong>Commitment to Excellence</strong></td>
<td></td>
</tr>
<tr>
<td>• Initiative &amp; Innovation</td>
<td>20%</td>
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<tr>
<td>• Customer Service</td>
<td></td>
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<tr>
<td>• Mission Support</td>
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Rating Scale

UT System uses a five-point rating scale

- **Outstanding Performance**
  - *Exemplary accomplishments* throughout the rating period and/or *represented by unique and unusual accomplishments and result in specifically identifiable or quantifiable benefit* to System Administration or the institutions.

- **Very Good Performance**
  - *Exceeded the expectations and requirements* of the assigned position and *regularly produces expected accomplishments* in all areas of responsibility.

- **Good Performance**
  - *Meets job expectations and requirements* and may occasionally exceed performance objectives.

- **Needs Improvement**
  - *May meet some* of the job expectations but does not fully meet the remainder.

- **Unsatisfactory Performance**
  - *Fails to meet* defined expectations and minimum job requirements.
Writing the Performance Appraisal

Do:
- Use specific and relevant examples
- Be factual and objective
- Clearly convey the intent of the message
- Balance review of the previous year with forward-looking comments

Don’t:
- Generalize
- Avoid performance concerns
- Use absolute words such as “always, never, completely, etc.”
- Commit in writing what you can not deliver
Tips: Appraisals for Employees Rated “Needs Improvement”

- Identify reasons for low performance
- Address specific areas needed for improvement and reinforce positive behaviors
- Consider whether a counseling or action plan was implemented during the performance period
- Partner with HR Business Partner

“1st, 2nd, and 3rd quarter financial reports were submitted late with errors causing delayed reconciliations. Recommend John Doe cross-reference data prior to submittal. Accurate reports are expected by designated due dates without errors/omissions.”
Tips: Appraisals for Employees Rated “Very Good or Good”

- Emphasize areas where employee is succeeding and value the accomplishments
- Identify specific areas for development
- Find ways to motivate the employee to “raise the bar”

“Jane Doe responds to employee inquiries within a timely manner. In responding, she explains processes and justifies responses. She researches information if needed prior to responding to inquiries. In preparing tasks, events, meetings, trainings, comprehensive planning is always integrated (i.e., preparing materials, back up plans) Our focus is always to maintain quality in services provided.”
Tips: Appraisals for Employees Rated “Outstanding”

- Don’t gloss over specific accomplishments
- Identify key competency areas that with some further development could result in significant gains
- Learn what differentiates the strong performer from others
- Challenge the employee to identify different or higher level assignments

“Henry Smith consistently anticipates problems before they occur. Provides meaningful information to decision makers that helps in the preparation and implementation of projects. Plans projects and carries them out so that projects are completed ahead of schedule and under budget.”
Goal Evaluation

This step is only applicable if goals were entered in 2016.

• Evaluate current goals during this appraisal process.

• As an enhancement to the Performance Management process, HR will be holding leadership goal sessions to move to a focus on performance goal outcomes.

• Once organizational and departmental goals are established, they will be communicated to all employees through a Goal Setting Process.

As a result, no future goals will be added during the June appraisal process.

Future goals will be created and documented in the upcoming months.
Discussion and Feedback Meeting

• Schedule in advance, meet in private, and be on time
• Set a positive tone, build rapport with a friendly welcome
• Actively listen
• Allow ample time for the discussion
• Outline the agenda for the meeting
• During a difficult message, stick to “Just the Facts”:
  – Follow the order of the evaluation document
  – Allow the employee to make a case, and if they have ample evidence, consider adjusting the review
• If the situation becomes escalated or emotional, stop the meeting and resume the next day
Appraisal Feedback Scenarios
Clip 1: The team member’s perception of her performance is very different than the manager’s.

• Listen to the manager’s initial response.
Clip 2: The team member starts to tear up and is very anxious.

- Listen to the manager’s initial response.
Clip 3: The manager is talking with a high performer who is satisfied in her current role.

• Listen to the manager’s initial response.
Clip 4: The manager is addressing poor performance.

- Listen to the manager’s comment.
PerformancePro Appraisal Quick Overview

Begin the process by:
– Logging into PerformancePro Using SNAC
– Set to Appraiser Role
– Select Employee

Evaluation Steps
– Evaluate Factors
– Evaluate Current Assigned Goals (applicable only if goals were previously created in 2016)
– Complete Summary Comments (Summarize the Evaluation Period)

4 Routing Steps to Complete/E-Sign
– **Mark Ready**: Indicates you are done with your first draft.
– **Merge**: This will combine both Employee Self-Appraisal and Managers Appraisal.
– **Complete**: Finalize the review and commit to history
– **E-Sign**: Both Employee and Appraiser will E-Sign the Appraisal.
PerformancePro

1. Access UT4U [http://www.utsystem.edu/ut4u/homepage.htm](http://www.utsystem.edu/ut4u/homepage.htm)
2. Navigate to Resources/Current Employees/Performance Management
3. Select the University of Texas System Administration as your home institution
4. Enter your SNAC login and password
5. Press Submit
Step 1: Evaluate Factors

From the *Main Menu*, under *Appraisal*, click *Evaluate Factors*. Select your role as an appraiser. Select the name of the employee you would like to appraise from the list box. Select a factor to evaluate from the *Overview* tab.

![Performancepro Central Home](image)
Step 1: Evaluate Factors (continued)

Select a factor to evaluate under the *Evaluation* tab. Next, select a rating for the factor. Enter comments.

Repeat this step for each factor.

You can move through the factors by clicking Next OR the Drop Down Menu.
Step 2: Evaluate Current Goals (if applicable)

From the *Main Menu*, under *Appraisals*, click *Evaluate Goals*. Next, select a rating for the goal. Enter comments. Repeat this step for each goal.
Step 2: Evaluate Goals – Comment Coaching

Don’t quite have the words?

Appraisers may utilize a list of template comments that can be added into the comment section of the Goal you are evaluating.

Choose from “Areas of Strength” to “Areas of Improvement”.
Step 2: Evaluate Goals (continued)

This is the view *prior* to evaluating on the overview tab.

![Table before evaluation](chart1.png)

This is the view *after* goal has been evaluated.

![Table after evaluation](chart2.png)
Step 3: Summary Comments

From the Main Menu, under Appraisals, click **Summary Comments**. Click in the Summary Comments box and enter any additional information, concerns, etc. (if desired). Enter information in the additional comment fields.
Routing Process Step 1 - Ready for Meeting

Once completed, mark the appraisal Ready for Meeting.

Once the Employee has completed their self-appraisal the Appraiser will receive an automated email.
Routing Process Step 2 - Merge Appraisals

- Click on Merge
- To allow the employee access to their merged appraisal, click the Allow Employee Access checkbox.

![Image of Appraisal Finish Appraisal interface]
Routing Process Step 3 - Complete Appraisal

**WARNING:**
THIS IS YOUR LAST CHANCE TO MAKE CHANGES.

Once you mark “Complete,” the action will generate an e-mail notification to both the employee and appraiser for E-signature.
YOU HAVE COMPLETED THE APPRAISAL PROCESS!
Employee E-Signs Appraisal

The employee’s E-Sign screen will look a bit different. They will have the option to agree/disagree with the appraisal, add a comment and then E-Sign.
Step 1: Review Notes

Step 2: Evaluate Factors

Step 3: Evaluate Goals

Step 4: Ready for Meeting

Step 5: Merge Appraisal

Meeting

Edit Appraisal, if necessary

Step 6: Sign the Appraisal

Step 7: Complete the Appraisal

Step 8: Sign the Appraisal

By May 26th
We heard you, and we’re making changes to improve the Performance Management process.

• Transition from performance factors to Leadership Competencies
• Replacing Performance Appraisals with a new Performance Goal process
• Simplified weighting system
• A focus on performance goal outcomes, not activities
• Feedback from peers and/or indirect managers
• Ongoing performance discussions and teachable moments
• Introduce Pay for Performance
• Systems enhancements coming…
Resources

- UT System UT4U Performance Management Site
  - Leader Toolkit to include:
    - FAQs
    - PowerPoint Slides
    - Quickstart Guide
    - Factor Weight and Definition Guide
- OHR SharePoint
  - Recorded Presentations (Video/Audio)
- HR Business Partner
HR Business Partner Team

**Siria Barrera, MA, SHRM-SCP**
HR Business Partner

**Johnny Reyes, SHRM-SCP**
HR Business Partner

**Julio Arizmendi, MPA**
HR Business Partner

**Stephanie Gil, PHR, SHRM-CP**
Manager, HRBP Team

**DEPARTMENTS**
- BOARD OF REGENTS
- FEDERAL RELATIONS
- GOVERNMENTAL RELATIONS
- HEALTH AFFAIRS
- HUB
- HUMAN RESOURCES
- INNOVATION & STRATEGIC INVESTMENT
- OGC
- POLICE (ODOP)
- SHARED SERVICES
- STRATEGIC INITIATIVES
- TMD-SAS

**DEPARTMENTS**
- ACADEMIC AFFAIRS
- CHANCELLOR'S OFFICE
- EXTERNAL RELATIONS
- FACILITIES (OFM)
- OFPC

**DEPARTMENTS**
- BUSINESS AFFAIRS
- BUSINESS DEVELOPMENT
- CONTRACTS AND PROCUREMENT
- CONTROLLER'S OFFICE
- EMPLOYEE BENEFITS (OEB)
- FINANCE
- OTIS
- INFORMATION SECURITY
- RISK MANAGEMENT (ORM)
- SHARED BUSINESS OPS (SBO)
- SYS-WIDE INFO SVCS (SWIS)
- SYSTEMWIDE COMPLIANCE
- TOGI

**DEPARTMENTS**
- AUDIT
- INST FOR TRANS LEARN (ITL)
- SHARED INFORMATION SERVICES (SIS)
- UNIVERSITY LANDS