

Performance Management and Appraisal Training for Managers

Office of Human Resources

April 21, 2017

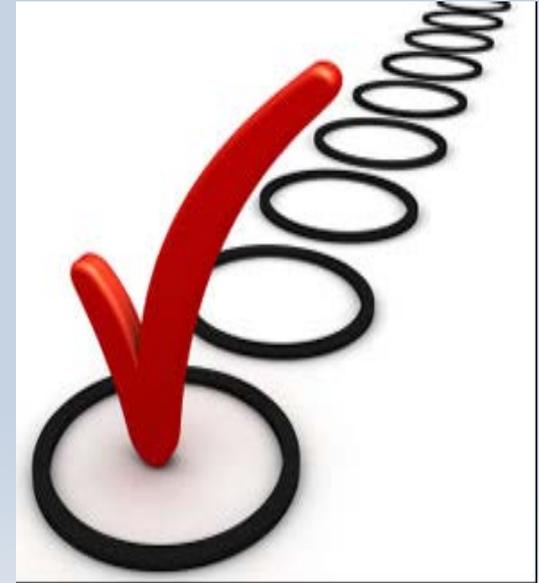


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Training Objectives

- 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



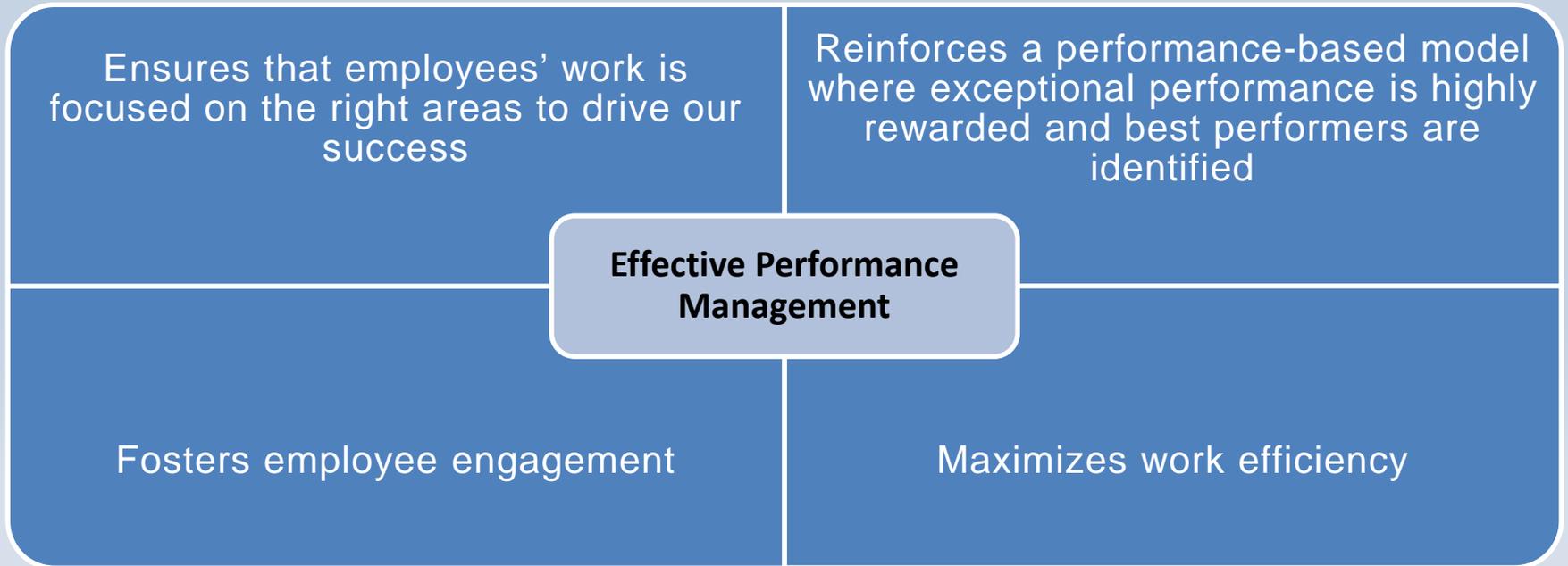
What is Performance Management?

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



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



UT System Administration Appraisal Framework



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



Performance Factors: Supervisor/Senior Staff

Performance Factor	Weight
Accomplishments: <ul style="list-style-type: none">• Work Plan, Goals, Duties and Responsibilities/ Other Accomplishments	40%
Accountability: <ul style="list-style-type: none">• Focus on Results• Quality• Reliability• Compliance	20%
Knowledge, Skills, and Abilities <ul style="list-style-type: none">• Communication• Job Knowledge• Teamwork	20%
Management <ul style="list-style-type: none">• Initiative & Innovation• Planning & Resource Stewardship• Leadership• Identify, Hire, Develop, & Retain	20%



Performance Factors: Non-Supervisor

Performance Factor	Weight
Accomplishments: <ul style="list-style-type: none">• Work Plan, Goals, Duties and Responsibilities/ Other Accomplishments	40%
Accountability: <ul style="list-style-type: none">• Quality• Reliability• Compliance	20%
Knowledge, Skills, and Abilities <ul style="list-style-type: none">• Communication• Job Knowledge• Teamwork	20%
Commitment to Excellence <ul style="list-style-type: none">• Initiative & Innovation• Customer Service• Mission Support	20%



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



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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)

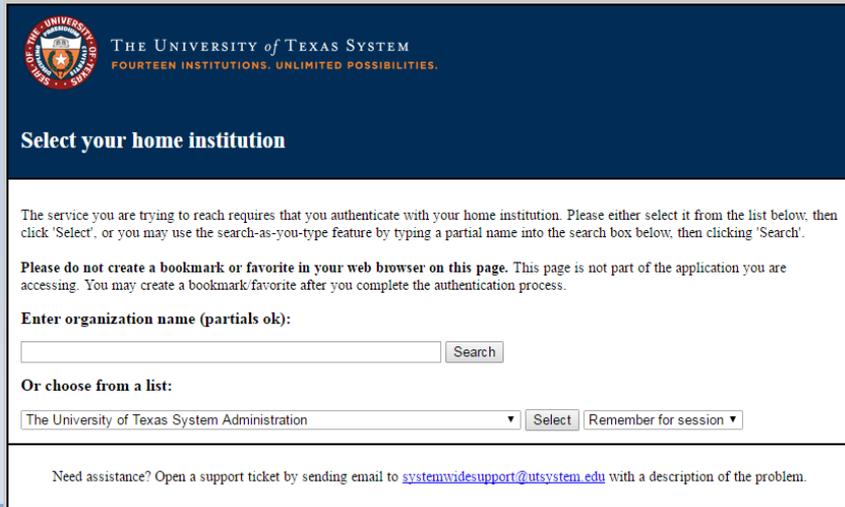
4 Routing Steps to Complete/E-Sign

- 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>
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



The screenshot shows the top portion of the PerformancePro login interface. It features the University of Texas System logo and name. Below this is a dark blue header with the text "Select your home institution". The main content area has a white background and contains instructions for selecting an institution, a search box for organization names, and a dropdown menu. At the bottom, there is a link for support tickets.

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Select your home institution

The service you are trying to reach requires that you authenticate with your home institution. Please either select it from the list below, then click 'Select', or you may use the search-as-you-type feature by typing a partial name into the search box below, then clicking 'Search'.

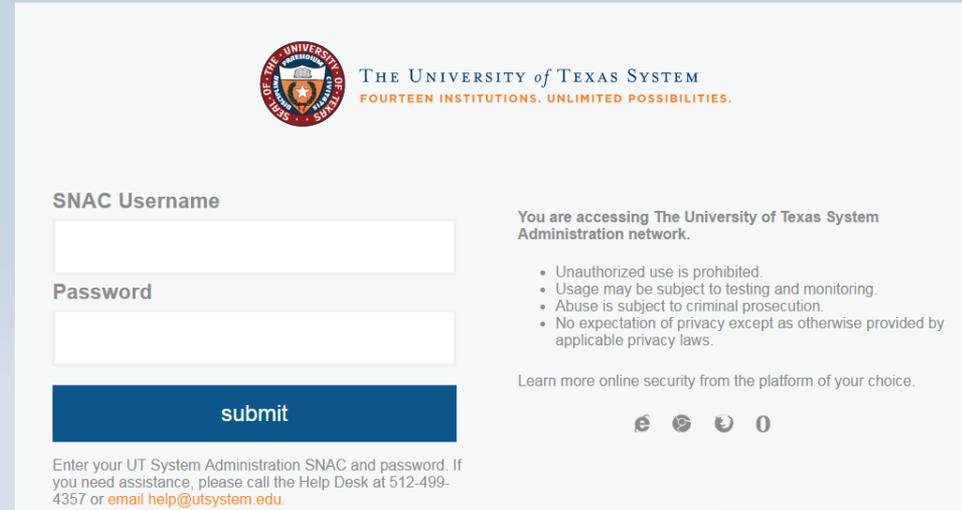
Please do not create a bookmark or favorite in your web browser on this page. This page is not part of the application you are accessing. You may create a bookmark favorite after you complete the authentication process.

Enter organization name (partials ok):

Or choose from a list:

The University of Texas System Administration

Need assistance? Open a support ticket by sending email to systemwidesupport@utsystem.edu with a description of the problem.



The screenshot shows the bottom portion of the PerformancePro login interface. It features the University of Texas System logo and name. Below this is a form for entering SNAC credentials. The form includes a text box for the SNAC Username, a text box for the Password, and a blue submit button. To the right of the form, there is a security notice and a list of prohibited actions. At the bottom, there are social media icons and a footer with assistance information.

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SNAC Username

Password

You are accessing The University of Texas System Administration network.

- Unauthorized use is prohibited.
- Usage may be subject to testing and monitoring.
- Abuse is subject to criminal prosecution.
- No expectation of privacy except as otherwise provided by applicable privacy laws.

Learn more online security from the platform of your choice.



Enter your UT System Administration SNAC and password. If you need assistance, please call the Help Desk at 512-499-4357 or [email help@utsystem.edu](mailto:help@utsystem.edu).



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

JOHNNY REYES
The University of Texas System

Home Support abc Spell Check Language Check

APPRaiser

1 n Out

Performance Pro Central Home

DOO, SCOOBY

2

Employee Documents

- Performance History
- Employee Goal Tools
- Appraisal
- Evaluate Factors
- Evaluate Goals
- Summary Comments
- Finish Appraisal

3

Required

Form Inbox

Name
No form inbox listed

Add Form

View SCOOBY DOO's Home

Configure Home

My Current Appraisal

Assigned

Welcome Message

Overdue appraisals

End Date	Name
There are currently no overdue items	

View All Search



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

Performancepro

Home Support Spell Check Language Check

JOHNNY REYES
The University of Texas System
APPRaiser

Sign Out

Appraisal Evaluate Factors

Overview Evaluation

Accomplishments 40%

CONSIDER ANY OR ALL OF THE FOLLOWING WHEN EVALUATING: Work plan Goals Duties and responsibilities Other accomplishments Describe any extenuating circumstances or progress to date if employee was unable to meet established plans or goals.

Outstanding Performance: Performance is characterized by exemplary accomplishments throughout the rating period and/or represented by unique and unusual accomplishments that are far above defined job expectations and result in specifically identifiable or quantifiable benefits to System Administration or the institutions. Significantly and consistently exceeded expectations by demonstrating exceptional performance in meeting deadlines and accomplishing tasks, projects, and objectives. Demonstrates exceptional in-depth knowledge and has mastered all job related skills and undertakes additional job functional/duties through their own initiative. Recognized by peers and/or customers as a leader and positive example for others.

Very Good Performance: Performance exceeded the expectations and requirements of the assigned position and regularly produces expected accomplishments in all areas of

Good Performance: Performance consistently meets job expectations and requirements and may occasionally exceed performance objectives. Meets

Needs Improvement: Performance may meet some of the job expectations but does not fully meet the remainder. Generally doing the job at a minimal level, and

Unsatisfactory: Performance fails to meet defined expectations and minimum job requirements. Does not adequately accomplish objectives nor fulfill all responsibilities.

Primary Appraiser: REYES, JOHNNY

Primary Appraiser Comments

Add

Employee Appraiser

1 2 3 4



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.

Home Support Spell Check Language Check

Appraisal **Evaluate Goals** 2

Employee Documents Overview Evaluation Set Future Goals

Select Goal to Evaluate	Weight	Comments
Scare Ghosts	80%	
Go to training	20%	

1

Appraisal **Evaluate Goals** DOO, SCOOPY

Overview Evaluation Set Future Goals

Scare Ghosts 80% Back Next

Due 05-31-2010 — Get them to leave me alone.

Exceeded: All aspects of the goal have been achieved. Performance exceeded expectations.

Complete: All major aspects of the goal have been achieved. Performance met expectations.

Progress: Significant progress has been made in completing major aspects of the goal.

Incomplete: Progress has been made but major aspects of the goal are incomplete.

Not addressed: Goal was not addressed (indicate if goal was not addressed due to change in strategy, mission, objectives, resources or other factors).

Primary Appraiser: REYES, JOHNNY

Primary Appraiser Comments 4

Employee: DOO, SCOOPY

Employee Appraiser 3

Goal Progress

Primary Appraiser: REYES, JOHNNY Progress

Not Started
 In Progress
 Complete 5



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”.

Primary Appraiser: REYES, JOHNNY

▼ Primary Appraiser Comments

Add

Employee: DOO, SCORBY

Comment Coaching

Areas of Strength

Selected goal: Scare Ghosts

- Anticipates problems and makes adjustments as necessary
- Carefully tracks and manages information supporting Goal achievement
- Clearly outlines Goal achievement plans
- Communicates delays in Goal achievement
- Communicates information related to Goal achievement in a timely manner

Save Close Clear Selection



Step 2: Evaluate Goals (continued)

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

Select Goal to Evaluate	Weight	Comments
Scare Ghosts	80%	
Go to trining	20%	

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

Select Goal to Evaluate	Weight	Comments
✓ Scare Ghosts	80%	●
✓ Go to training	20%	●



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.

The screenshot shows a web application interface for 'Appraisal Summary Comments'. On the left is a navigation menu with categories: Employee Documents, Appraisal, Reports, Manage Employees, and System Setup. The 'Appraisal' section is expanded, showing options like 'Evaluate Factors', 'Evaluate Goals', 'Summary Comments' (highlighted), and 'Finish Appraisal'. The main content area is titled 'Appraisal Summary Comments' and includes a search bar with 'DOO, SCOOPY' and a magnifying glass icon. Below the search bar is a 'Summary Comments' section with a large empty text box. To the right, there are progress bars for 'Overall Progress', 'Goal Progress', and 'Factor Progress', all showing 100%. Below these is a 'View Current Appraisal' button. At the bottom right, 'Employee Appraisal Information' is displayed, including 'Position: Non-Manager', 'Appraisal Period: 05-01-2014 - 05-31-2016', and 'Appraisers: REYES, JOHNNY'.



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.

Home Support Spell Check Language Check

Appraisal **Finish Appraisal** DOO, SCOOBY

Status Overview **Ready** Merge Route Complete

➔ Your next step is to mark the Appraisal "Ready for Meeting" [Mark Ready](#)

Ready for Meeting Checklist

- ✗ Employee: DOO, SCOOBY has not marked "Ready for Meeting"
- ✗ Primary Appraiser: REYES, JOHNNY has not marked "Ready for Meeting"

Appraisal Checklist

Factor	Score	Comments
Accomplishments	✓	✓
Accountability	✓	✓
Commitment to Excellence	✓	✓
Knowledge, Skills, and Abilities	✓	✓

Goal

Goal	Score	Comments
Scare Ghosts	✓	✓
Go to training	✓	✓

Progress: 100%

Goal Progress: 100%

Factor Progress: 100%

[View Current Appraisal](#)

Employee Appraisal Information

Position:
Non-Manager

Appraisal Period:
05-01-2014 — 05-31-2016

Appraisers:
REYES, JOHNNY



Routing Process Step 2 - Merge Appraisals



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

Appraisal
Finish Appraisal

Status Overview Ready **Merge** Route Complete

➔ Your next step is to **merge** the Appraisal. **Merge** 1

Ready for Meeting Checklist

- ✗ Employee: DOO, SCOOBY has not marked "Ready for Meeting"
- ✓ Primary Appraiser: REYES, JOHNNY has marked "Ready for Meeting" 2016-04-19 13:10:24

Appraisal
Finish Appraisal

Status Overview Ready **Merge** Route Complete

✓ This step has been completed 2016-04-19 12:17:27
The next step in the Appraisal process is complete.

Allow Employee access 2

Appraisal Summary

Factor	EE	PR1
Accomplishments	Very Good Performance	Very Good Performance
Accountability	Very Good Performance	Very Good Performance
Commitment to Excellence	Good Performance	Very Good Performance
Knowledge, Skills, and Abilities	Very Good Performance	Outstanding Performance

Goal

Goal	EE	PR1
Scare Ghosts	Incomplete	Exceeded
Go to training	Incomplete	Exceeded



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.

Home Support Spell Check Language Check

Complete Appraisal

No changes can be made once the Appraisal is completed. Are you sure you want to complete the Appraisal?

Cancel **Complete**

Appraisal **Finish Appraisal**

Status Overview Ready Merge Route **Complete**

➔ The Appraisal is ready to be completed. **Complete**

Score Summary

Score Summary	Total	Weight	Score	Perf. Rating
Factor	--	100%	0	--
Goal	Exceeded	0%	0	Very Good Performance

Overall Progress: 100%

Goal Progress: 100%

Factor Progress: 100%

View Current Appraisal

Employee Appraisal Information

Position:
Non-Manager

Appraisal Period:
05-01-2014 — 05-31-2016

Appraisers:
REYES, JOHNNY

Employee Documents

- Performance History
- Employee Goal Tools

Appraisal

- Evaluate Factors
- Evaluate Goals
- Summary Comments
- Finish Appraisal**

Reports

- Manage Employees

System Setup

Calendar: April 2016

Legend: ■ Appraisal Due ■ Alert



Routing Process Step 4 - E-Sign Appraisal

Performance Pro Central Home 1

Required

To Be Signed

Completed	Item	Name
04-19-2016	Appraisal	DOO, SCOOPY

Form Inbox

Name

No form inbox listed

Add Form

Appraiser (REYES, JOHNNY) 2

Signature	Signed Date	Action
DOO, SCOOPY Employee		Not Yet Signed
REYES, JOHNNY Appraiser		Sign

Appraiser (REYES, JOHNNY) 3

Signature	Signed Date	Action
DOO, SCOOPY Employee		Not Yet Signed
REYES, JOHNNY Appraiser	04-19-2016 1:42 pm	Signed

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.

Electronic Signature: DUVALL, ROMELLA(Employee)

Signature	Signed Date	Action
DUVALL, ROMELLA Employee		<input checked="" type="checkbox"/> Check this box to sign this document electronically - Upon saving this signature, no further comments may be added and the Agree/Disagree status may not be changed <input type="radio"/> Agree <input type="radio"/> Disagree <input type="button" value="Add Comment"/>



By May 26th

Employee Self Appraisal

Employee

Step 1: Review Notes

Step 2:
Evaluate
Factors

Step 3:
Evaluate
Goals

Step 4:
Ready for
Meeting

Meeting

Step 6:
Sign the Appraisal

Appraiser

Step 2:
Evaluate
Factors

Step 3:
Evaluate
Goals

Step 4:
Ready for
Meeting

Step 5:
Merge
Appraisal

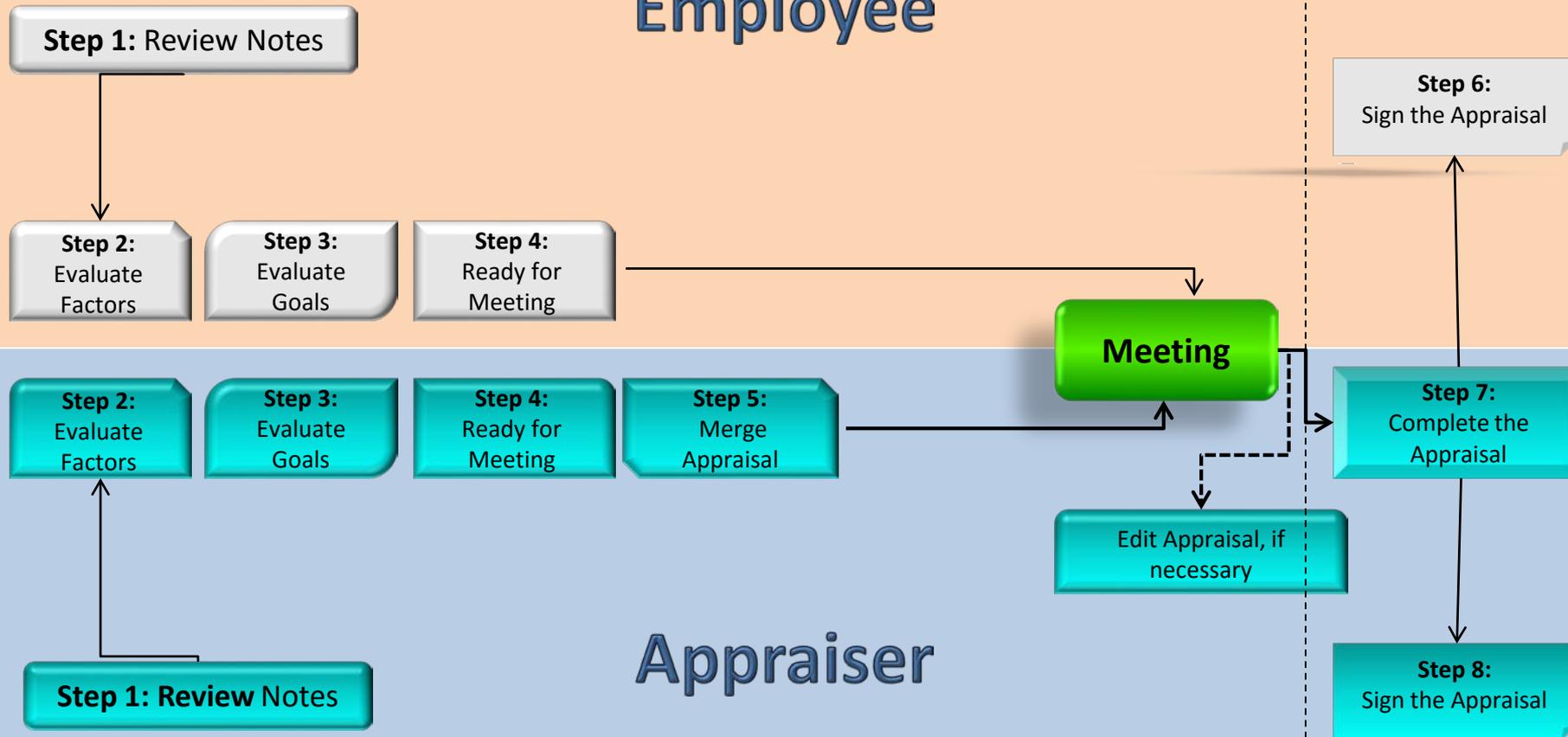
Edit Appraisal, if
necessary

Step 7:
Complete the
Appraisal

Step 1: Review Notes

Appraiser

Step 8:
Sign the Appraisal



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

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



Johnny Reyes, SHRM-SCP
HR Business Partner

DEPARTMENTS
ACADEMIC AFFAIRS
CHANCELLOR'S OFFICE
EXTERNAL RELATIONS
FACILITIES (OFM)
OFFPC



Julio Arizmendi, MPA
HR Business Partner

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



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

DEPARTMENTS
AUDIT
INST FOR TRANS LEARN (ITL)
SHARED INFORMATION SERVICES (SIS)
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