

# **KEYS TO SUCCESS FOR THE 2021 ANNUAL PERFORMANCE EVALUATION PROCESS**

Jen Rick & Jasmine Lastery

Human Resources

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# OBJECTIVES

- Review the alignment of the Performance Management “PM” Strategy Cycle
- Review of the PM Process
- What’s new for the 2021 Annual Performance Evaluation (“APE”) process
- Review Performance Ratings
- Creating meaningful goals

# KEY TERMS AND ACRONYMS DEFINED

- **Performance Management or “PM”-**  
A process that provides feedback, accountability, and documentation for an employee’s performance outcomes
- **Annual Performance Evaluation or “APE”-**  
A formal written review of performance which involves a discussion about an employee's development and job performance. It involves setting a plan of action for the next period and reviewing what has been achieved in the last period
- **Performance Improvement Plan- “PIP”-**  
A written plan document given to employees with performance deficiencies. It defines serious areas of concern, gaps in work performance, reiterates management’s expectations and allows the employee the opportunity to demonstrate improvement within a defined period of time.

# PROCESS EXPECTATIONS

- All eligible employees will have an annual performance evaluation. Exceptions include:
  - Those in 90-day period
  - Those in temporary or short-term contract roles
- Timing for non-exempt and exempt staff evaluations will be the same

# WHY DO WE CONDUCT PERFORMANCE EVALUATIONS?

- Promotes communications about job performance
- Opportunity for recognition
  - Facilitates better working relationships
  - Makes people feel valued
- Allows for transparency
  - Provides a historical record of performance
  - Two-way communication allows employee and manager to share perspectives
- Focuses team members on what is important now
  - Set goals to move to future state
  - Feedback highlights what matters most
- Contributes to professional development

# EXECUTING AN EFFECTIVE PERFORMANCE MANAGEMENT CYCLE



- Self Evaluation
- Annual Performance Evaluation
- Pay Increase

- Performance Goals
- Development Plan
- Mission, Values, and Behaviors

- Feedback
- Coaching
- Development Opportunities

# DATES FOR APE PROCESS IN 2021



Set Your Plan

- **March 1 – April 18- Employee and Supervisor Complete Their Sections of Review**
- **April 19 –April 30 HR Review and Evaluation**
- **May 1- May 31- Delivery and Discussion**

# REVIEW OF THE PROCESS

# PERFORMANCE MANAGEMENT SYSTEM



- OnBase is our software platform
- Log in via Banner self service
- Use JCU single sign on login credentials
- SAVE often!!! OnBase loses data if a save does not happen every 60 minutes.
- For challenges with OnBase, contact Jim Kohan.

# STEPS TO THE PROCESS

## 1. Review job description

- If revision is needed, please contact Jasmine Lastery. HR Generalist
- Job Descriptions should capture about 70% of the essential functions of the job with the rest of the duties being “other duties as assigned”

## 2. Employee Completes Self-Assessment

## 3. Supervisor Reviews and Provides Feedback STOP

## 4. HR Review

## 5. Delivery and Discussion of evaluation with employee

- Discuss performance evaluation
- Agree upon goals

## 6. Electronically Sign & Submit to Human Resources

# The Self-Assessment

The employee will begin the APE process with a self evaluation to reflect and respond to prompts regarding:

- Accomplishments from the year
- Challenges from the year
- Strengths
- Areas of opportunity
- Success on 2020-21 Goals
- Ideas for Goals in 2021-2022

# The Supervisor Evaluation

The supervisor will continue the evaluation process by reviewing the employees:

- Accomplishments from the year
- Challenges from the year
- Strengths
- Areas of opportunity
- Success on 2020-21 Goals
- Ideas for Goals in 2021-2022

# The Supervisor Evaluation

The supervisor will:

- Read the employee's self assessment
- Provide ratings on Key Performance Indicators
- Make comments on strengths and areas of opportunities
- Make comments about how the employee displays University Values
- Provide ideas for professional development
- Confirm, add, or delete the goals suggested by the employee.
- Provide an overall rating for the Employee's performance.

# ELECTRONIC WORKFLOW



# 2021 OVERALL RATINGS

Leading  
Performance  
5-10%

- Easily recognized as a top performer compared to peers, viewed as a resource for mentorship and guidance of others in department, proactively takes on higher levels of responsibility that add new value
- Could reflect unique, one-time achievements that made measurable progress toward an institutional goal

Fully  
Successful  
Performance  
75-80%

- Applies to an employee who consistently demonstrates an effective performance, often at high level of performance
- Achieves valuable accomplishments in several critical areas of the job
- Performance is reflective of a fully qualified and experienced individual

Building  
Performance  
5-10%

- Working toward gaining proficiency- New Hire or PIP
- Demonstrates uneven or inconsistent performance in key job responsibilities
- Achieves some but not all goals and requires frequent coaching, training, or feedback on others.

Not meeting  
expectations  
0-5%

- Quality of performance is inadequate and shows little or no improvement
- Knowledge, skills and abilities have not been demonstrated at appropriate levels.

# HR REVIEW FOR CONSISTENCY

- HR review period prior to supervisor and employee discussion
  - Review for consistency of rating- discuss any extremes or issues with managers to validate consistency of their rating
  - Review for adverse impact- refers to employment practices that appear neutral but have a discriminatory effect on a protected group

# WHAT'S NEW FOR 2021?

# NEXT LEVEL SUPERVISOR REVIEW PROCESS

- Evaluations that receive an overall rating of “Leading Performance” or “Not meeting Expectations” will be routed to the next level supervisor for review
- The next level supervisor reviews for:
  - Consistency
  - Supporting context

# EVALUATING EMPLOYEES WITH MULTIPLE MANAGERS

# REVIEWING PERFORMANCE

# UPDATING JOB DESCRIPTIONS

Supervisors and employees are expected to review job descriptions annually:

- Job Descriptions help define a role's essential responsibilities and key measures of success
- Job Descriptions are living documents- as our University's strategy evolves, job responsibilities and key priorities will change
- Job Descriptions help ensure we are being consistent with our expectations and qualifications
- Please discuss changes with Human Resources

# PREPARING FOR YOUR 2021 EVALUATION

# PERFORMANCE & ENGAGEMENT

## *SUPERVISORY RESPONSIBILITY*

- Providing ongoing formal and informal feedback on performance, goals and results.
- Addressing performance issues with timely, honest and constructive feedback.
- Setting clearly defined and realistic goals with the employee.
- Documenting the review and feedback discussions.

# PERFORMANCE & ENGAGEMENT

*UNIVERSITY VALUES*

Outstanding **Teamwork & Collaboration**

Enhancing the **Student Experience**

Striving for **Excellence**

Promoting an **Inclusive Community**

**Leadership Excellence**

Demonstrating **Service in Solidarity**

Innovative **Solutions & Creativity**

# PERFORMANCE & ENGAGEMENT

## *KEY PERFORMANCE INDICATORS*

- **Demonstration of Mission & Inclusivity**
- **Quality & Quantity of Work**
- **Reliability**
- **Initiative/Creativity**
- **Cooperation with Others**
- **Relationship with Supervisor**
- **Capacity to Develop**
- **For those who lead others:**
  - **Coaching**
  - **Delegation**
  - **Management**

# 2021 COMPETENCIES

## Advanced

- Has broad and deep understanding of skills, with substantial expertise demonstrated
- Can apply this competency regularly and independently and in complex, varied situations
- Role model for this competency

## Proficient

- Has broad understanding and experience to operate at a full professional level in moderately complex situations
- Can generalize basic principles to effectively function in both predictable and new situations

## Developing

- Newly developing in this area; has general understanding of key principles but limited and no applied experience with this competency.
- Is capable of using this competency with coaching and support, in simple situations.

## Does Not Demonstrate

- Does not demonstrate this competency at the expected level, even with available assistance and direction from others.

# OVERALL PERFORMANCE RATINGS

- Supported by documentation, facts, and/or data.
- Consider all of the following:

- Job Performance
  - Key Performance Indicators
  - Achievement of Goals and Metrics
  - Demonstration of University Values
- Commitment to Service to the Department and University

# REVIEWING PERFORMANCE

- Ratings have meaning and definition-
  - Fully Successful Performance is an excellent rating.
  - Leading Performance is assigned to those who have had an outstanding year and should not be a “given” or be influenced by likability.
- Think about the full year’s performance not just recent events
  - If improvement has been seen you can say “Thank you for your improvement in \_\_\_\_\_.”
  - Consider all aspects of the employee’s job responsibilities including service behaviors.

# 2021 OVERALL RATINGS

## Leading Performance 5-10%

- Easily recognized as a top performer compared to peers, viewed as a resource for mentorship and guidance of others in department, proactively takes on higher levels of responsibility that add new value
- Could reflect unique, one-time achievements that made measurable progress toward an institutional goal

## Fully Successful Performance 75-80%

- Applies to an employee who consistently demonstrates an effective performance, often at high level of performance
- Achieves valuable accomplishments in several critical areas of the job
- Performance is reflective of a fully qualified and experienced individual

## Building Performance 5-10%

- Working toward gaining proficiency- New Hire or PIP
- Demonstrates uneven or inconsistent performance in key job responsibilities
- Achieves some but not all goals and requires frequent coaching, training, or feedback on others.

## Not meeting expectations 0-5%

- Quality of performance is inadequate and shows little or no improvement
- Knowledge, skills and abilities have not been demonstrated at appropriate levels.

# OVERALL PERFORMANCE RATINGS

## Leading Performance:

Easily recognized as a top performer compared to peers, viewed as a resource for mentorship and guidance of others in department, proactively takes on higher levels of responsibility that add new value.

Could reflect unique, one-time achievements that made measurable progress toward an institutional goal. Looks like:

- Responds to challenge and change by creating and/or leading response efforts that provide a positive impact for the University;
- Takes on a committee leadership role whose service provides significant value or innovative improvements for the University community;
- Significantly exceeds one or more defined metrics for job performance during performance period;
- Job performance receives significant recognition and/or awards from an external party.

# OVERALL PERFORMANCE RATINGS

## Fully Successful Performance:

Applies to an employee who consistently demonstrates effective job performance, often at high level of performance

Achieves valuable accomplishments in several critical areas of the job  
Performance is reflective of a fully qualified and experienced individual  
Looks like:

- Meets, and occasionally exceeds, goals and performance standards;
- Presents viable solutions to departmental problems and participates in the plan to execute the solutions;
- Demonstrates a willingness to complete work that may be out of scope of their regular responsibilities;
- Volunteers to take on new tasks and/or initiatives and sees through to completion;
- Effectively handles multiple priorities;
- Looks for process improvements and development opportunities for self, the team, and the department;
- Demonstrates excellent service behaviors towards, students, staff, faculty and others.

# OVERALL PERFORMANCE RATINGS

## Building Performance:

Employee is working toward gaining proficiency and is most likely a New Hire or an employee who is under a Performance Improvement Plan. Demonstrates uneven or inconsistent performance in key job responsibilities.

Achieves some but not all goals and requires frequent coaching, training, or feedback on others. Looks like:

- Performance does not meet all goals and performance expectations for roles during evaluation period;
- Requires close supervision and guidance to achieve some work responsibilities;
- Inconsistently contributes to solving problems;
- Lacks ability to independently prioritize work responsibilities;
- Needs support for managing routine situations and demonstrating effective service behaviors towards, students, staff, faculty and others.

# OVERALL PERFORMANCE RATINGS

## Not Meeting Expectations

Quality of performance is inadequate and shows little or no improvement. Knowledge, skills and abilities have not been demonstrated at appropriate levels.

Many of the key performance areas and job responsibilities have not been completed and/or the results are not significant, not on time or of low quality. Looks like:

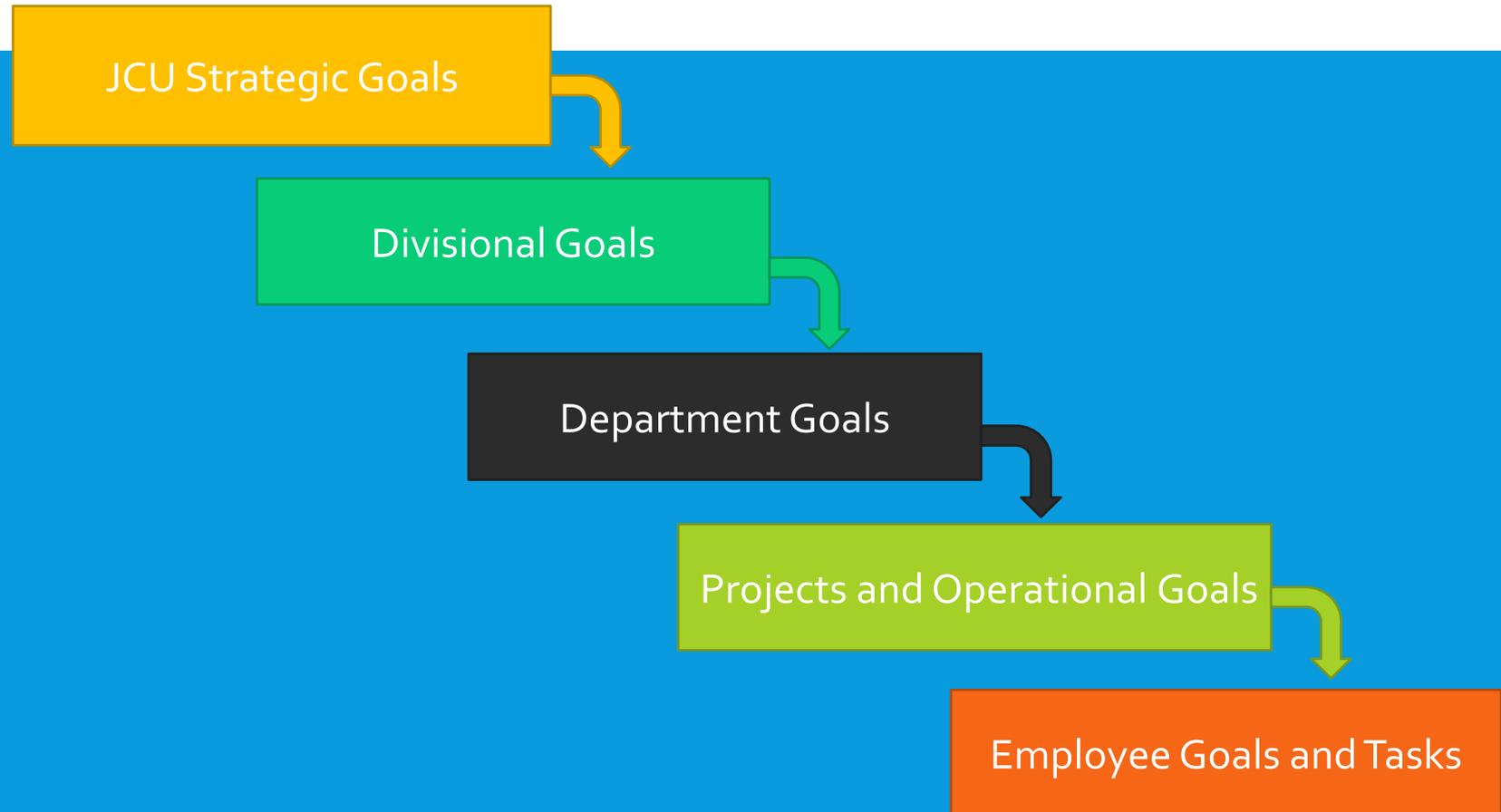
- Does not complete daily work responsibilities in a consistent manner;
- Requires substantial supervision to achieve work responsibilities;
- Does not adhere to department policies and expectations;
- Is unable to recognize problems;
- Looks for reasons why work or goals cannot be accomplished rather than looking for ways to complete the work;
- Provides an inconsistent level of customer service.

# GOALS

# GOAL SETTING

1. Employee to suggest goals for next academic year for supervisor to review and refine through discussion.
  - Goals should have a completion date of June 1, 2021- May 31, 2022
2. Supervisors can update the suggested goals by editing suggested content, deleting, or adding.
3. Final goals will be discussed and agreed upon at evaluation discussion.

# CASCADING GOALS



# GOAL SETTING AND CHANGE MANAGEMENT

## Start

- What would add value?
- What new skills would help?
- What should we put in place?

## Change

- What could be tweaked or updated?
- What processes could improve?
- Who/what partnerships could improve?
- Can the scope of the project be altered?

## Continue

- What works well?
- What do we want to keep?
- What do we like that supports what we do?
- What is "in process" that could be worthwhile?

## Stop

- What is not working?
- What is not providing value or is redundant?
- What wastes time?
- What causes dissatisfaction?



# TYPES OF GOALS FOR WORK

- Job Description Goals- Expand knowledge or skills to achieve a better efficiency
- Project Goals- Surround the success of a project that will be completed in the timeframe of the review
- Behavioral Goals- Focus on “how” things can be accomplished
- Stretch Goals- Expand knowledge or skills to achieve a higher position

# IDEAS FOR GOALS



- Take a course on a new skill.
- Learn a new system or tool.
- Improve your public speaking and presentation skills.
- Research other departments to learn best practices.
- Improve communication among your team or about your team.
- Network with other Universities to understand best practices.
- Get better skills for time management.
- Revise out-of-date documentation.

# "SMART" GOALS:

- Specific
- Measurable (or motivating)
- Attainable (or aligned or action-oriented)
- Relevant (realistic or resourced)
- Time-bound (or trackable)

Reality Check- Can the employee demonstrate the ability to achieve benchmarks required of the goal(s) in the timeframes we have established?

# Performance & Engagement

*Why do employees fail to reach goals?*

- Goals are too vague or unclear
- Lack of short term objectives or milestones
- Lack of engagement
  - Little or no supervisory feedback
  - Failure to track progress
  - Failure to recognize
  - Lack of accountability
- Unforeseen circumstances or changing priorities

# DATES FOR APE PROCESS IN 2021



Set Your Plan

- **March 1 – April 16- Employee and Supervisor Complete Their Sections of Review**
- **April 17 –April 30 HR Review and Evaluation**
- **May 1- May 31- Delivery and Discussion**

# KEY TAKEAWAYS

- Prior to April 19 deadline, teams can set internal expectations about by when they expect the self evaluation and supervisor review are to be completed.
- Do not discuss performance ratings with direct reports until after the HR Review is complete on May 1.
- Be honest and fair in your assessment of performance.
- SAVE often!!! OnBase loses data if a save does not happen every 20 minutes.
- Setting meaningful goals is essential to drive our strategy forward
- Human Resources is here to help!

**QUESTIONS?**