



University Human Resources
Performance Development Toolkit for Managers
March 2018

Dates and Deadlines for the 2107-2018 Performance Appraisal Cycle

Performance reviews for 2017-2018 will be delivered to your Workday inbox this week and a draft is **due to your Performance Partner for review by April 30, 2018.**

A **flow chart** documenting the full submission and review process in Workday is available on the UHR website. Please review the chart, paying particular attention to printing and sharing opportunities. **FAQs** on the UHR webpage may be helpful as you prepare your review, and as you prepare to share the review with the staff member. Your HR Consultant is also available to assist you as you prepare to talk with staff about performance.

Performance conversations with staff should be held by early June 2018.

What is Performance Development?

Performance development is the process of planning for, discussing and evaluating employee performance. When clear and explicit conversations about work goals, performance and training opportunities occur regularly, staff find these conversations more meaningful. As a best practice, the goal is to provide continuous guidance to foster employee performance and development.

Why is performance development important?

Performance development provides a set of clear work expectations and goals for employees. With clearer priorities for their work, staff can spend their time more effectively accomplishing the work most important to the department. In addition, new career challenges with continuous learning opportunities can be identified for strong performers, creating higher levels of job satisfaction.

Performance management is an aspect of performance development. The term “*performance management*” encompasses planning for a staff member’s development, discussing and assessing work performance, and offering coaching and corrective guidance when an employee’s performance falls short of what is required or as new skillsets are being developed. When a manager provides frequent and honest feedback about performance an employee can often identify opportunities to resolve performance shortfalls immediately, preventing the need to escalate to a formal performance improvement process. Similarly, and equally important, receiving consistent on-going feedback will foster the employee’s own commitment to professional growth and development.

What is required of me as a manager?

As a manager of staff, it is expected you will:

- Hold regularly scheduled meetings with each staff member to develop work plans, review the status of work projects, recognize staff for accomplishing major tasks, and encourage staff to develop new skills;
- Conduct regular conversations throughout the year to review how well the employee is meeting performance expectations, debrief on why projects succeeded (or didn't), and review ways the outcome might have been enhanced;
- Complete forms throughout the year to document conversations with your staff member where you set goals, review performance and offer honest and constructive feedback.

How should conversations about performance be documented?

There are a number of forms you can use throughout the year to engage in meaningful performance conversations.

To start the annual cycle, you or your staff member may use the optional *Professional Development and Goal Planning* form. The form may be accessed in Workday by typing “Goal” in the search bar. A job aid with instructions about accessing, completing, updating and routing the form is available from the Workday website.

Professional development provides opportunities for your staff to plan to take on new projects and tasks within their current role, and also to join new teams, attend training courses and seminars or collaborate with others outside of their departmental unit. Professional development allows staff to gain experience to enhance skills and performance.

During the year, you may also use the optional *Mid-Year Check-in* form in addition to or in place of updates to the *Professional Development and Goal Planning* form. A more formal mid-year conversation is an opportunity for you and your staff member to review progress to date and adjust expectations as needed. The process can serve as an ‘early warning’ for employees falling short of expectations; it can also provide more discussion around new challenges the staff member is hoping to take on, or to encourage and recognize staff that are performing at or above expectations.

The form is available in Workday by typing *Mid-Year* in the search bar. A job aid with instructions about accessing, completing and routing the form is available from the Workday website.

Toward the end of the annual appraisal cycle, your staff member should complete a *Self-Appraisal Form* available from the University Human Resources website, or through Workday. The self-appraisal can lay the groundwork for you to prepare for your annual performance evaluation by providing a staff member the opportunity to highlight work they consider to be their most important accomplishments in the past year. The self-appraisal will also provide you with insight into the staff member’s recent work challenges, and areas in which they believe that more training or development opportunities would be valuable. A job aid with instructions about completing, routing, and accessing the form is available from the Workday website.

To complete the performance development cycle each year, you must complete an *Annual Staff Performance Evaluation* form. Performance appraisals should include an assessment of the staff member’s accomplishment goals and key responsibilities, new skills demonstrated during the year, and your assessment of the staff member’s mastery of core University competencies. The core competencies defined below are required of all Brown staff.

Core Competencies for All Staff	
Job Knowledge	Possesses and continually updates requisite knowledge and understanding of assigned duties, responsibilities, policies, procedures and compliance requirements to perform the position. Demonstrates technical skills required for the position. Understands business needs and desired outcomes.
Work Product	Demonstrates quality product including accuracy and thoroughness in work required for the position. Plans and completes acceptable quantity of work within deadlines. Works with diligence and identifies opportunities to streamline or improve processes.
Customer Focus	Consistently exhibits professional demeanor with internal and external constituents and peers through verbal and written customer focused communication. This includes listening, understanding customer expectations/perspective and acknowledging and responding to concerns in a timely and helpful manner. Demonstrates commitment to exceptional service and timely problem resolution
Dependability/Accountability/Professionalism	Follows through on assignments. Takes ownership of work. Is reliable, professional and responsible. Adheres to procedures, practices, and work schedule. Work is completed in a timely manner and within established deadlines effectively using resources. Demonstrates commitment to professional development.
Collaboration/Teamwork	Demonstrates cooperation and teamwork. Values and seeks input and expertise of others. Contributes to the team environment by working effectively with others on the team to accomplish work. Treats co-workers with respect, honesty and fairness. Resolves issues effectively and is viewed as a positive team member and/or colleague.
Communication	Communicates effectively and respectfully verbally and in writing. Follows instructions and shares information appropriately. Engages in meaningful two-way conversations. Listens attentively and clarifies information when necessary.
Commitment to/Demonstration of Inclusion & Welcoming Behavior in the Community	Creates a welcoming learning and working environment with productive and positive workplace relationships. Builds and supports a diverse and inclusive community by demonstrating respect in the workplace. Proactively identifies opportunities to increase awareness and hold self and others accountable for acting in a way which breaks down barriers between groups of difference. Creates an inclusive climate that accepts and welcomes diversity.

Managerial competencies should be assessed for those who supervise staff.

Managerial Competencies for Those Who Supervise Others	
Management	Establishes performance expectations for staff. Provides timely, effective and meaningful feedback that motivates staff members to improve their performance. Builds and supports a high performing team. Assists employees in eliminating barriers to performance and provides encouragement for skill development. Delegates responsibility appropriately. Recognizes and rewards achievement.
Leadership	Establishes clear vision for staff and motivates employees to achieve their best performance. Engages and motivates staff, coaching for peak performance. Promotes a welcoming, inclusive and supportive work environment and fosters continuous improvement. Makes outreach efforts and uses resources to create a diverse workforce. Leads and manages change. Builds and manages relationships across the department and University.

Why are there two versions of the Annual Appraisal, and how do I decide which one to use?

Two versions of the *Annual Staff Performance Evaluation* form are available to assist you in structuring a performance conversation that both you and your staff member will find effective. Both versions of the form have been designed to touch upon all aspects of a staff member’s performance, and should serve as a guide for an open and honest conversation about performance.

The **Competency-Based** evaluation form provides the opportunity to review individual job skills and approaches to work and to evaluate and comment on each separately. This approach to discussing performance may help clarify for staff members how their work compares to your standards, and identify specific areas where their contributions have varied from the standards qualitatively or quantitatively.

The **Narrative** evaluation form provides the opportunity to review an individual's performance more comprehensively, providing the manager an opportunity to discuss performance on work projects and outcomes and referencing individual competencies without focusing on them one at a time. Here too, specificity is required when communicating about situations, projects or interactions where the staff member's contributions have exceeded, or fallen short of, the expected standard.

Your preference for describing your observations during the performance conversation may determine which form you choose. However, please note that **you are required to use the same form** for all 'similarly situated' employees in your department. 'Similarly situated employees' might include all staff at the same job grade, or all staff performing similar work, having the same job title or reporting to the same supervisor. Stronger and weaker performers who are 'similarly situated' should be evaluated using the same form, since performance alone should not drive selection of one form versus the other. In addition, some departments may decide that only one version of the form will be used, for all staff. If you have any questions about which form might be right for you, or about documenting performance feedback in general, please contact your HR Consultant/Generalist, or your Department Manager.

How does performance development connect to work expectations or pay?

A job description describes the work to be done by the staff member holding the position. It sets the stage for optimum work performance by clarifying responsibilities and expected results that will factor into an assessment of performance.

Job descriptions are an important component to maintaining an equitable compensation system and ensuring legal compliance. Staff should be paid at least the minimum of the salary range for their position grade. A best practice is to review each job description annually before starting the evaluation process to ensure that it reflects the work the employee is actually doing. Reviewing the job description also helps set expectations for work performance and outcomes. Over time, stronger performers will be paid higher in their salary ranges than other staff at the same grade, whose performance is not as strong.

A. Annual merit

In years where the University Resources Committee and Brown Corporation authorize a budget for salary increases, an annual merit pool will be available for distribution. Brown is a 'pay for performance' employer, meaning that staff who perform at the highest levels will receive the highest salary increases, staff performing at an effective level will receive an increase closer to the budgeted amount, and staff whose performance requires improvement may not receive a merit increase.

A separate Merit announcement is made annually to detail the process and timeline for requesting merit increases.

B. Equity

The University strives for staff salaries that are equitable from both an internal and external perspective. An equity increase should be considered if a staff member's position in the salary range does not reflect the employee's contributions and performance, if the salary is significantly below the market or significantly below the salary paid for similar positions at Brown.

Equity increases are often considered during the annual performance review or merit cycle. They are funded through departmental funds or through a central funding pool as appropriate and available. Regardless of the funding source, equity increases must be approved by the University Human Resources Compensation Services team.

C. Special considerations for probationary and shorter-term employees

Staff who have not been employed for a full appraisal year should still participate in performance development discussions. However, during the annual salary increase process it is appropriate to pro-rate or otherwise adjust any salary increase in a manner that reflects the staff member's limited time throughout an entire review cycle to demonstrate performance. ***Given their limited time in the department, staff who have not completed the probationary period are not eligible for and may not be rated at the highest overall performance rating.*** This rating is reserved for staff who have demonstrated exceptional performance over a full 12-month period.

What is the annual calendar? What happens if that calendar doesn't work for my department?

Performance development is an on-going process. However, there are key milestones throughout the year.

Professional development and goal planning generally occur at the start of the fiscal or academic year to set the stage for the work to be accomplished in this annual cycle. Mid-year check-ins and/or goal reviews can occur as needed, with November as an ideal time. Self-appraisal generally will be completed in late February or March, with the manager's annual performance evaluation due in late April to coincide with the annual budget-planning calendar. Your department or division may adjust the dates for completing the annual performance evaluation to meet their business need.

Each year, University Human Resources communicates due dates and deadlines for the Annual Staff Performance Evaluation. Your department may set earlier dates or may request approval for a later end date, based on business requirements. Please contact your HR Consultant/Generalist if a slightly modified time frame will better meet your department's needs.

How is UHR involved in this process?

University Human Resources is available to assist you in:

- Evaluating jobs to ensure the job grade is correct;
- Setting expectations for staff;
- Addressing performance shortfalls; and,
- Drafting performance documentation including the annual evaluation.

Human Resources consultation and authorization are required for annual appraisals with an overall rating of 'requires improvement' to plan for next steps in addressing performance.

University Human Resources has created Brown's performance development forms and manages the launch of these forms in Workday. In addition, UHR is responsible for launching the annual merit process and reviewing all job audit and equity requests.

For more information about any of these processes please contact your HR Consultant/Generalist.

PERFORMANCE FLOW CHART

