PERFORMANCE APPRAISAL
& PLANNING GUIDE

2016
THE PURPOSE & PRINCIPLES OF PERFORMANCE MANAGEMENT

Each employee of Baylor University serves an important role in furthering the mission and vision of the university. In support of Pro Futuris and Judicious Stewardship, employees identify improvements to increase efficiencies, integrate assessment into decision-making, and continue faculty and staff development. This is accomplished through a collaborative, ongoing process of performance management whereby managers and employees plan for, develop, and evaluate the employee’s work. These conversations take place throughout the year, and each spring we engage in a formal process to document this ongoing interaction - the Annual Staff Performance Appraisal and Planning Process.

Plan for Employee’s Work

Employees: Each employee serves an important role in the University and, as a result, is responsible for specific performance objectives. Employees are responsible for understanding expectations of their position and for own career development.

Managers: Managing employee performance and development is essential to insuring the excellence of the Baylor experience for faculty, staff, students, and the community. Managers are responsible for the stewardship of the University’s resources, including leadership of and service to staff members. Consequently, managers should set and communicate performance expectations of employees. These expectations encompass both what the employees do (functional) and how they do it (behavioral).

Job descriptions provide guidance on the functional expectations of the job, while Baylor’s Core Competencies offer excellent insight on the behavioral aspect of what is expected of employee conduct.

Develop Employee’s Work

Development of employee’s work involves ongoing coaching, feedback, and learning.

Coaching is a continuous approach to people management in which managers provide guidance to employees in functional and behavioral areas, support improvement of processes and approach, involve employees in decision-making, and assist employees in overcoming obstacles on a day-to-day basis.

Feedback is the ongoing exchange of information between employee and manager related to the performance expected and the performance exhibited. Positive feedback reinforces actions, while developmental feedback guides toward a more effective approach. Feedback offered should be timely, balanced, and specific. Accepting feedback in a receptive way leads to opportunities for learning, improvement, and a more engaged work environment.

Learning is the process of creating intentional experiences for employees that promote skills and knowledge related to their positions, as well as to their professional growth. These experiences may be in the form of workshops or classes offered through the HR Center for Learning & Leadership, on-the-job projects, external conferences, webinars, or media such books, articles, or DVDs. Development plans provide a roadmap for the employees’ journey in learning and selection or creation of a plan should be a collaborative effort between the manager and employee.
Evaluate Employee’s Work

Evaluation of the work and how it was done, as well as the recognition of efforts, supports the university’s vision of Judicious Stewardship.

**Formal evaluation** is completed through the *Staff Performance Appraisal & Planning Process*. The process serves as a snapshot to document the ongoing collaboration between managers and employees to serve the university effectively. The process encourages communication, listening, and understanding, and meets more specific needs of the organization by providing insight into workload, organizational structure, development needs, and compensation allocation. For employees and managers, the process offers a time to celebrate accomplishments, learn from experience, identify and develop strengths and areas of improvement in performance, and to plan for the coming year. New employees complete a performance evaluation upon completion of their initial 180 days of employment and all staff members participate in the annual Staff Performance Appraisal & Planning Process. More details may be found on the later in this guide.

Employees’ efforts are recognized formally through the **annual merit compensation process and programs such as Service Awards and Outstanding Staff Awards**. Managers are encouraged to show appreciation of employee’s efforts regularly. More information about these recognition and reward programs is available on the *Baylor Human Resources website*.

Should an employee’s work or conduct not meet expectations and initial coaching efforts prove unsuccessful in soliciting improvement, the manager should contact their HR Consultant to develop a plan for corrective action. More information can be found on the *Corrective Action webpage*.

Questions? Contact your HR Consultant.
To identify your HR Consultant, log in to BaylorCompass at [www.Baylor.edu/compass](http://www.Baylor.edu/compass).
Step 1: MANAGER & EMPLOYEE - Planning & Preparation

Use the Word document version (on the Staff Performance Appraisal & Planning Process website) as a tool to start composing your thoughts for this year. Keep in mind that your final responses will need to be input into the online version of the form in BaylorCompass once it becomes available.

Think about your employee’s past year of work:

- Highlight 3-5 accomplishments of the past year – training, projects, performance measures
- Recognize mission-based impacts and how the employee adjusted to changes in the department
- Describe 3-5 areas where the employee needs to adjust or improve
- Set 3-5 goals for the employee for the coming year (See SMART Goals on page 23-24)
Step 2: EMPLOYEE - Employee Completes Self-Appraisal

1. Under My Tasks on the Home page, click on Write your self-appraisal

2. Complete the Annual Performance Appraisal form
   - You may copy & paste from a Word document if you used it as a tool to prepare.
   - You may Save your work and return to it multiple times.

3. Once finished, you must click on Complete.
   Note: Clicking Complete locks your response areas and sends the form to your manager. Once you click Complete, you no longer have access to edit the document.

4. The form is sent to your manager through BaylorCompass for their comments. Once your manager completes their response, then they will schedule a meeting with you for the performance conversation.
Step 3: MANAGER - Manager completes appraisal

1. Under My Tasks, click on Write appraisal for your direct reports

Task Status screen
- This tab shows tasks in the performance appraisal process so that you can track your employees’ appraisal through the process
- The highlighted section shows the current status and the blue-text shows the sections that require action from you.

2. Click on Edit Appraisal

3. Complete the Annual Performance Appraisal form
   - You may copy & paste from a Word document if you used it as a tool to prepare.
   - You may copy, paste, and edit from the Employee Response area, as well.
   - You may Save your work and return to it multiple times.
Review the employee’s Learning Transcript

- In the form view, click on the split-screen icon in the top bar.
- Choose Development Plans from the drop-down list.
- Click on Transcripts tab to view the learning activities and dates completed.
- Pay special attention to required compliance courses.
- To close the split section, click on the X button at the top of the lower section.
Pay special attention to the **Goals** section

- The employee’s response in this section is a suggestion.
- You, the manager, **must input information into the Goals section** for it to feed into the Goals tab of the employee’s performance area and be available for tracking progress throughout the year.
- You may copy, paste, and edit from the Employee Response area, if you agree with the goals written by the employee.
- Due dates and weights are optional.
4. Select the **Overall Performance Indicator for the Past Year**
   - You can view the employee’s self rating for input and awareness.
   - The rating you select for the employee will inform the merit compensation process.

5. Disregard the **Employee Acknowledgement of Receipt** - This area is viewable to you, but will be completed by the employee at the end of the process. You will see the completed section upon sign-off.
Send for Review

- This function allows you to send the evaluation to others for input.
- Purpose: To obtain review of up-line manager comments
- The reviewer can add annotations, but cannot edit the content.
- The manager may copy/paste annotation comments into the Second-Level Manager comment box on the form.

6. Once you have completed the form, click **Complete**.

**Note:** Clicking Complete locks your response areas and sends the form to the second-level manager. Once you click Complete, you no longer have access to edit the document unless the second-level manager returns it with annotations.
Step 4: SECOND-LEVEL MANAGER - Second-level manager reviews appraisal and comments

1. Under **My Tasks**, click on **Second level manager reviews appraisal**
2. **Second-Level Manager Comments** – Under the Comments section, Second-Level Managers may include any overall comments they would like to share with the employee.
3. **Send Back to Manager** - Second-level managers cannot directly edit the content of the appraisal. They can make annotations and Send Back to Manager.
   - Annotations are available only for the direct manager to view. They are not recorded in the final document and are not viewable by the employee. Think of them as post-it notes for the reviewer and manager.
   - If the second-level manager chooses to **Send Back to Manager**, then the form is sent to the direct manager and unlocked for edits, who may amend comments before clicking **Complete** again.

**Approve the appraisal:**

If the direct manager’s comments and rating are acceptable, then click **Approve**.

*Note: This locks the form and sends it to the next step in the process.*

- If the rating is Meets, Exceeds, or Significantly Exceeds Expectations, then the next step is the **Manager meets with employee to discuss review**
- If the rating is Partially Meets or Does Not Meet Expectations, the form is sent to the HR Consultant for review and approval.
Step 5: MANAGER - Manager and employee conduct performance conversation

1. Under My Tasks, click on Manager meets with employee to discuss review
2. Click on View Appraisal
3. Click on Show as PDF and save document
4. Send an Outlook Meeting Request to employee for performance conversation and attach document to request
5. Close window – Do not complete at this time!

6. Conduct the performance conversation.

7. Following the performance conversation, log in to BaylorCompass and return to Manager meets with employee to discuss review.
8. Click on Mark as Completed, and click OK.
Step 6: EMPLOYEE - Acknowledge Receipt of Appraisal

1. Following the conversation, your manager will send the form to you and you will have a task for Sign off your appraisal.
2. Click Sign off your appraisal under My Tasks.
3. Enter the date of the conversation meeting.
4. Choose an acknowledgement statement.
5. Click Sign off. This returns the form to the manager.

NOTE: If the second acknowledgement is chosen, then this process progresses and an addendum is begun. The addendum allows for employee and manager comments in coordination with the HR Consultant.
Step 7: MANAGER - Manager Signs Off

1. Click on **Sign-off appraisals for direct reports**
2. Click on **View Appraisal** to view the employee’s acknowledgement selection
3. Click on **Sign Off**

4. The process is complete.
Step 8: Manage Performance & Next Steps:

A PDF of the form is housed in the employee’s My Performance > Evaluations section of BaylorCompass. Managers can view the appraisal by clicking on My Employees, finding the employee’s record and clicking on the number under the Evaluations column.

1. Track goals
   • In BaylorCompass, employees can add notes, update progress flag, status, and percent complete.
   • Managers can view progress of their goals and discuss it throughout the year.

2. Communicate regularly
   • In BaylorCompass, managers can view employee’s goal and learning progress.
   • Meet regularly and reinforce expectations set in the performance conversation.
   • Provide feedback using the STAR-AR model for both positive and developmental feedback.

3. Support your employee’s learning opportunities for personal and professional development
   • In BaylorCompass, employees can search the Learning Library for activities related to competencies they would like to develop. Managers can view their learning activities, as well, through the My Employees page.
   • Employees should pursue opportunities to improve current processes and procedures.
   • Seek opportunities to connect work with goals, strategic vision, and the overall university mission.

Merit Increase - Following the Performance Appraisal Process, the merit increase process begins.

Merit-Based Compensation Plan - Baylor operates on a merit-based compensation plan also known as pay-for-performance. Merit pay means that the pay increase is based on a set of criteria defined by the employer. In this case, the criterion is employee performance in the past year.

1. In the spring, the Baylor Board of Regents approves a merit increase percentage, which is an amount expressed as a percentage of overall payroll. **Individual percentages may vary while maintaining the overall allowance.**
2. Supervisors and executive administration allocate the overall amount provided for that department or division amongst all the employees in that area.
3. The final approvals are completed in August and supervisors should inform their employees of the effect on their pay at that time.
4. The increase, if any, takes effect on the first paycheck of September.
APPENDIX
PLANNING AND PREPARATION

Tools
In addition to the document template itself, there are several tools available to help in completion of the document on this page.

- Mission and goals of the University
- Baylor’s Core Competencies
- Link to Job Descriptions
- Skills and traits list

Tips
- Avoid generalizing. Cite specific examples and provide specific goals.
- Describe behaviors and the business impact. Refrain from labeling.
- Refer to both the job description (technical, what you do) and the core competencies (behavioral, how you do it).

The Performance Indicator

<table>
<thead>
<tr>
<th>Performance Indicator</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Significantly Exceeds Expectations:</strong></td>
<td>Performance consistently exceeds goals, job requirements, and expectations,</td>
</tr>
<tr>
<td></td>
<td>and is significantly beyond the scope of the job requirements in ways that</td>
</tr>
<tr>
<td></td>
<td>enhance or improve work assignments or work area.</td>
</tr>
<tr>
<td><strong>Exceeds Expectations:</strong></td>
<td>Performance consistently meets and frequently exceeds goals, job</td>
</tr>
<tr>
<td></td>
<td>requirements, and expectations. Assignments are completed in a highly</td>
</tr>
<tr>
<td></td>
<td>effective manner.</td>
</tr>
<tr>
<td><strong>Meets Expectations:</strong></td>
<td>Performance is dependable and meets goals, job requirements, and expectations.</td>
</tr>
<tr>
<td></td>
<td>Occasionally some assignments are completed in a highly effective manner.</td>
</tr>
<tr>
<td><strong>Partially Meets Expectations:</strong></td>
<td>Performance does not consistently meet goals, job requirements, and</td>
</tr>
<tr>
<td></td>
<td>expectations in essential areas. Improvement is required via a Performance</td>
</tr>
<tr>
<td></td>
<td>Improvement Plan in coordination with HR and attached to this document.</td>
</tr>
<tr>
<td><strong>Does Not Meet Expectations:</strong></td>
<td>Performance does not meet goals, job requirements, and expectations.</td>
</tr>
<tr>
<td></td>
<td>Immediate improvement is required via a Performance Improvement Plan and</td>
</tr>
<tr>
<td></td>
<td>Observation Process (reference BUPP805, Staff Observation Process). Since</td>
</tr>
<tr>
<td></td>
<td>continued performance at this level could result in disciplinary action or</td>
</tr>
<tr>
<td></td>
<td>termination of employment, coordination with HR is required.</td>
</tr>
</tbody>
</table>

This is the standard expected of Baylor employees.

If indicator is one of these, then a Performance Improvement Plan is required, and the appraisal will be routed to the HR Client Relationship Manager.
Expectations

- Discuss how the department applies the Performance Indicator definitions.
- Ensure that the Performance Indicator takes into account the entire review period and ties back to the narrative.
- Base the Performance Indicator on the performance, not the personality. Conduct that affects work should be addressed with the specifics of the work impact.
- The narrative should explain the indicator.
- There is no expectation of indicator or comment agreement between the employee and supervisor, nor are either expected or able to revise their rating or narrative.
- The discussion should lead to acknowledgement of each other’s perspectives and mutual understanding of the goals and expectations for the upcoming year.

Preparation for Conversation

Preparing for the performance conversation enables you to communicate clearly, convey your message, and understand your employee better.

Topics to discuss

- Employee career goals and plans for learning
- Performance expectations for the coming year
- Employee areas of improvement
- Department goals for the coming year
- How the manager can support the employee

Tips for discussion – Prepare for the conversation by following these guidelines

- Open - Describe the purpose of discussion
- Clarify - Seek and share information about the situation, identify issues and concerns
- Develop - Seek and discuss ideas
- Agree - Specify actions and confirm how to measure progress
- Close - Highlight important features of plan, confirm commitments

Giving Feedback

Feedback should be:

- Timely
- Balanced
- Specific

Feedback should not be:

- About motives or personality
- Punitive rather than constructive
- Unrelated to work or work relationships
STAR/AR Feedback

To give positive feedback that will be effective, remember STAR, which reminds you to describe:

- The Situation/Task (ST) the person or group handled, such as a problem, opportunity, special challenge, or routine task.
- The Action (A) the person or group took; what they actually said or did.
- The positive Result (R) of what they did and how it is beneficial.

Example-
(ST) When you explained policies and procedures to Department X,
(A) you were thorough and easy to understand
(R) which allowed them to grasp the topic and encouraged them to ask more questions.

To give developmental feedback, follow the same plan as positive feedback – STAR – plus:

- An alternative Action (A)—what the person might have said or done instead.
- The expected enhanced Result (R)—why the alternative action might be more effective.

Example-
(ST) When Employee Y asked questions off-topic,
(A) you looked at your phone several times
(R) which came across as if you were disinterested and diminished their trust in your help.
(A) Next time, if you are concerned with the time or schedule, then affirm your interest as well as your respect for everyone’s time, and suggest scheduling a separate meeting to discuss the new topic
(R) which will address the time factor while maintaining the client’s trust.
Receiving Feedback

You will receive feedback from your manager during the performance conversation. It is important to welcome feedback and be prepared to receive it.

• Transform Your Thinking
   Be open, and even welcoming, of feedback. Think “This could be helpful.”

• Listen to Learn
   Be attentive and silent to allow the other person to speak. Be sure to fully hear all the information being provided. Listen to learn rather than to defend or respond.

• Seek Details
   Seek specifics about situations, behaviors, actions, results, and alternatives to ensure you have a complete understanding of the information.

• Admit Mistakes
   If you agree that you erred or could have been more effective, then admit it. You may offer to provide explanation for the situation, but not excuses.

Timeline

Departments may have internal timelines, so check with your department head.

Early March – Planning and preparation

Process Dates

March 15 Process opens in BaylorCompass
June 15 All performance appraisals due
Summer Merit compensation process (informed by Appraisal Process)

Suggested Timeline

April - Employees complete Performance Appraisal Form by April 15
May - Managers complete Performance Appraisal form,
      Review by Second-Level Managers and possible up-line reviews by May 1
      Performance conversations take place
June - Employees Sign-off on form in BaylorCompass
       Managers sign-off on form in BaylorCompass
SMART GOALS

**Specific** – target a specific area for improvement

**Measurable** – quantify or at least suggest an indicator of progress

**Attainable** – state what results can realistically be achieved, given available resource

**Relevant** – specify why it matters

**Time-related** – specify when the result(s) can be achieved

**Specific:** Goals should be simplistically written and clearly define what you are going to do: what, why, and how. A specific goal will usually answer the five "W" questions:

- What: What do I want to accomplish?
- Why: Specific reasons, purpose or benefits of accomplishing the goal.
- Who: Who is involved?
- Where: Identify a location.
- Which: Identify requirements and constraints.

**Measurable:** Goals should be measurable so that you have tangible evidence that you have accomplished the goal. Usually, the entire goal statement is a measure for the project, but there are usually several short-term or smaller measurements built into the goal. A measurable goal will usually answer questions such as:

- How much?
- How many?
- How will I know when it is accomplished?
- Indicators should be quantifiable

**Attainable:** Goals should be achievable; they should stretch you slightly so you feel challenged, but defined well enough so that you can achieve them. You must possess the appropriate knowledge, skills, and abilities needed to achieve the goal. Impossible goals demotivate them. An attainable goal will usually answer the question:

- How: How can the goal be accomplished?

**Relevant:** Goals should measure relevant outcomes, not just activities. The goals should matter. A relevant goal can answer yes to these questions:

- Does this seem worthwhile?
- Is this the right time?
- Does this match our other efforts/needs?
- Are you the right person?
- Is it applicable in current socio-economic-technical environment?

**Time-related:** Goals should be linked to a timeframe that creates a practical sense of urgency, or results in tension between the current reality and the vision of the goal. Without such tension, the goal is unlikely to produce a relevant outcome A time-bound goal will usually answer the question:

- When?
- What can I do six months from now?
- What can I do six weeks from now?
- What can I do today?
SMART GOALS QUESTIONNAIRE

This questionnaire will assist you in creating S.M.A.R.T. goals. Begin by writing your goal as clearly and concisely as possible. Then answer the related questions. Conclude by revising your goal in the space allotted.

Goal:

1. Specific. What will the goal accomplish? How and why will it be accomplished?

2. Measurable. How will you measure whether or not the goal has been reached (list at least two indicators)?

3. Achievable. Is it possible? Have others done it successfully? Do you have the necessary knowledge, skills, abilities, and resources to accomplish the goal? Will meeting the goal challenge you without defeating you?

4. Relevant. What is the reason, purpose, or benefit of accomplishing the goal? What is the result (not activities leading up to the result) of the goal?

5. Time-bound. What is the established completion date and does that completion date create a practical sense of urgency?

Revised Goal: