PERFORMANCE APPRAISAL
& PLANNING GUIDE
FOR EMPLOYEES
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 as 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](https://www.baylor.edu/hr/).

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 Client Relationship Manager to develop a plan for corrective action. More information can be found on the [Corrective Action webpage](https://www.baylor.edu/hr/corrective-action/).

**Questions?** Contact your HR Client Relationship Manager.

To identify your HR Client Relationship Manager, log in to BaylorCompass at [www.Baylor.edu/compass](http://www.baylor.edu/compass).
STAFF APPRAISAL & PLANNING PROCESS

Step 1: Planning & Preparation
Step 2: Employee Completes Appraisal
Step 3: Manager Completes Appraisal
Step 4: Second-Level Manager Reviews Appraisal
Step 5: Manager & Employee Conduct Performance Conversation
Step 6: Employee Acknowledges Receipt
Step 7: Manager Signs Off
Step 8: Manage Performance
Step 1: 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 the past year of work:

- Highlight 3-5 accomplishments of the past year – training, projects, performance measures
- Recognize mission-based impacts and how you adjusted to changes in the department
- Describe 3-5 areas where you need to adjust or improve
- Set 3-5 goals for the coming year ((See SMART Goals on page 13-14)

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

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

Your narrative should explain the indicator you give yourself.

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 agreement of the goals and expectations for the upcoming year.

---

This is the standard expected of Baylor employees.
Preparation for Conversation

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

Topics to discuss with your manager

- How your manager can support your efforts
- Career goals and plans for learning
- Performance expectations for the coming year

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

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 manager.*

March – Planning and preparation

April – Process opens in BaylorCompass
- Complete Performance Appraisal form in BaylorCompass
  - Recommended by April 15
- Manager completes Performance Appraisal form in BaylorCompass
  - Recommended by May 15

April – May
- Performance conversations take place
- Sign-off on form in BaylorCompass
- Managers sign-off on form in BaylorCompass

June 15 - All performance appraisals due

Summer – Merit compensation process (informed by Performance Appraisal Process)
Step 2: 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.

![Annual Performance Appraisal Form](image-url)
Step 3: Manager completes appraisal

Step 4: Second-level manager reviews appraisal

Step 5: Manager and employee conduct performance conversation
• Once your manager completes their response, they will schedule a meeting with you for the performance conversation. They may send you a PDF copy of the appraisal with their comments for your review.

Step 6: 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.

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 Client Relationship Manager.
Step 7: Manager Signs Off

Step 8: Manage Performance & Next Steps:

- A PDF of the form is housed under My Performance > Evaluations section of BaylorCompass.

1. Track your goals
   - In BaylorCompass, add notes, update progress flag, status, and percent complete. (Instructions on how to use the Goals section will be available at www.Baylor.edu/hr/baylorcompass this summer.)
   - Discuss progress of your goals with your manager throughout the year.

a. Seek learning opportunities for personal and professional development
   - In BaylorCompass, search the Learning Library for activities related to competencies you would like to develop.
   - Pursue opportunities to improve current processes and procedures.
   - Take initiative to learn more about the work of your department and your partner areas.

b. Communicate with your manager regularly
   - In BaylorCompass, managers can view your goal and learning progress.
   - Meet with your manager regularly and confirm or clarify expectations set in the performance conversation.

- 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.
**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:

________________________________________________________________________________________________________