

Management Performance Review Policy

Category: Human Resources

Approval: PVP

Responsibility: Associate Vice-President Human Resources

Date: June 23, 2008, Last Revised June 3, 2014

Policy Statement:

The performance review process is a formal communication which is an integral part of performance management and is tied to compensation. All exempt and management employees will have an annual review of their performance using the performance review system outlined in this policy. Annual compensation is tied to this review and the ratings received by employees.

Procedure

The performance review process is as follows:

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| July | The VP's will access the Presidents Mandate and Objectives posted on the intranet, outlining key objectives for the University, and from this develop a list of key objectives for their respective division. This is shared with each employee and will form the basis of objectives established for departments/programs and for individuals. |
| August | The Manager/Supervisor and the employee meet to discuss potential objectives/targets. Once agreed upon, they are entered into the Performance Planning document. Performance criteria are also established. A copy of the document is sent to the VP. |
| December | The Manager and the employee meet to do a review of progress to date and review if the targets are still appropriate. . Any changes are noted on the Checkpoint Meeting Form, with a copy to the Manager, the employee and the VP. |
| May | A performance review meeting is held between the supervisor and employee to confirm the achievement and setting of targets and goals. Also at this meeting the Manager and the employee reach agreement where possible, on the recommended ratings and comments, including the Learning/Development Plan. |
| June | The President and VP's will meet to review each recommendation and may require the Manager to provide additional information. Final ratings to be documented and shared with the employee after Vice-Presidential and Presidential review. A copy of the completed document is forwarded to Human Resources and placed on the employee's personnel file. |

Preparation by the Supervisor

The process is to assess the employee's performance, not judge his/her personality. Preparation should include:

- Gather all relevant documentation
- Refer to the job overview to review the major duties and responsibilities
- Review the objectives/goals which were set out at the beginning of the review period. Are they still meaningful? If the answer is no, what were the circumstances?
- Review critical incidents and other records of importance; consult the users of the employee's services to measure general satisfaction. These individuals could be either internal or external to the department.
- Consider the employee's performance for each of the applicable performance factors.
- Complete in draft the Performance Review document.
- Judge your own performance in relation to the employee - Did you provide necessary support/training? Have you provided frequent and constructive feedback?
- Make arrangements for the meeting to take place in an appropriate setting: private, with no interruptions.

Preparation by the employee

These discussions are meant as an opportunity to review, from the employee's perspective, their achievements and concerns as well as to identify where support is required from the supervisor. In order to prepare for the meeting, the employee should:

- Review the objectives/goals which were set out at the beginning of the review period. The objectives will most likely be contained in the previous Performance Review form.
- Complete in draft the Performance Review document. The worksheet is intended to prepare for the review meeting and to facilitate the discussion during the meeting.
- Consider your performance for each of the applicable 'performance factors' and assign your rating.
- Determine what you consider to be realistic goals/objectives for the next review period
- Identify what you consider to be your training requirements, what support you require from the supervisor, and what career plans you may have for the future.

Setting Goals

Specific goals and objectives will serve as the basis for the next performance review. The supervisor and the employee should refer to this document throughout the next review period to ensure that things remain on target and to identify problematic areas. Goals should be related to the objectives of both the university and the individual job and be identified jointly. The employee should have a clear understanding of what the goals are, any deadlines which exist, and how often the goals will be reviewed during the year.

Goals should be:

- In support of the university and departmental objectives
- Reasonable in number (3 to 5)
- Achievable
- An extension beyond or improvement to the normal routines of the position
- Flexible to be updated as circumstances and priorities change
- May include team goals
- Should also include personal development goals

Learning/Development Plans

Supervisors and employees should jointly identify learning/development needs which meet both the immediate and future needs of the department. Departments are encouraged to support and provide developmental opportunities for employees, whenever possible.

Rating Scale

The new performance rating scale is as follows:

- 5 Exceptional performance in all areas of the job requirements which is recognized throughout their unit or broadly throughout the University. Normally, an employee would not receive a rating of 5 in consecutive years. Reserved for truly exceptional performance.
- 4 Performance regularly exceeded the requirements of the job in one or more key areas.
- 3 Performance met the job requirements and employee was a solid contributor to the achievement of department and University goals.
- 2 Performance met some, but not all of the job requirements as outlined in the performance plan.
- 1 Performance was significantly below requirements in several important areas and improvements will be required or reassignment or termination will be considered. Ratings at this level are subject to progressive disciplinary action.

MANAGEMENT SYSTEM

Consider to what degree individuals demonstrate desirable characteristics in the following performance competency areas:

- **Core Capabilities** – the job description outlines the items referred to as Core Capabilities. Included in this topic are the identified responsibilities of the job tasks to be performed and the knowledge required to perform the activities.
- **Leadership Quality** – leads teams, negotiates and solves conflicts, strategic approach to solutions, innovative, creative and responsive to opportunities, leads change, proactive and provides timely information, shows perseverance and initiative.

- **Management Ability** – achieves goals, gives recognition to others, meets quality and customer service standards, plans ahead, willingness to put in time and effort required to meet changing circumstances.
- **Decision Making and Judgment** – analyzes and solves problems, accountable and responsible for decisions taken, effective decision making, involves and consults others as required, flexible and ensures follow-up.
- **Staff and Resources Management** – creates a productive, safe and effective work environment for staff, solicits input from team members and encourages team input, defines team resources, along with clear roles and accountabilities, listens to staff and resolves issues, recognizes and applies financial information to effectively manage resources (staff, facilities, technology, finances) to achieve results.
- **Communication** – informs others of roles and linkages, effectiveness of staff and client messaging, listening ability, written and verbal performance, presentation and facilitation skills.
- **Professional development** – coaches team members on processes and methods to achieve expected team goals, provides clear and constructive feedback in concrete terms for development purposes, remains current in own field on new developments, demonstrates a commitment to developing others and is a model through actions for personal development.
- **Special Assignments** – champions staff for roles in other areas across the university where there is an opportunity for personal development, proactively makes self-available for university committees and projects as appropriate.
- **Safety Management, AODA and Employment Equity Compliance** – ensures the work environment for staff is free of safety hazards, staff are trained in safety procedures and the Trent Safety Policy is adhered to in all regards. Meets all documented accommodation requirements as specified in the Accessibility for Ontarians with Disabilities Act (AODA). Is in compliance with the Employment Equity Policy/Act.

MANAGER'S GUIDE

During the Interview Meeting

The interview meeting should be conducted in the most positive and supportive manner possible. In order to ensure a productive two-way discussion, the supervisor should:

- allow sufficient time (at least one hour) for the interview
- create an atmosphere of openness and honesty
- be impartial and non-judgmental
- focus on behaviour/performance not 'personality'
- avoid comparisons with others
- encourage active employee participation by listening positively
- let the other person talk (the employee should do much of the talking)
- be specific and use examples
- summarize what the employee has said in order to help prevent misunderstanding
- encourage the employee to make some suggestions when improvement is needed

The employee should also be an active participant in the process. This can best be accomplished if the employee:

- is receptive to constructive criticism
- asks for clarification, examples or facts in response to comments from the supervisor
- asks the supervisor to outline the positive behaviour expected in the future, if negative feedback is received
- indicates where support from the supervisor is needed

Concluding the Interview Meeting

As with the beginning of the meeting, the conclusion should be as positive as possible. The supervisor should summarize the employee's performance and ensure that the employee clearly understands what the performance expectations are for the next review period.

Critical Incidents

Throughout the year, the supervisor should document critical incidents - occasions when an employee does something well and when the employee does something incorrectly or needing improvement. While these should be dealt with at the time, using these incidents as examples during the performance review can be helpful.

Rewards and Recognition

The annual performance review is one way of recognizing good performance. Throughout the year, supervisors should take every opportunity to recognize the positive contributions of employees. Appropriate recognition for good performance is a powerful motivator and can increase both productivity and morale. It will also increase the likelihood of continued good performance. Departments and supervisors have many options to recognize and reward employees. Some suggestions include:

- remember to say thank you
- catch people doing things right
- offer sincere comments on performance
- compliment special efforts of individuals
- recognize less obvious accomplishments
- encourage actions which will lead to rewards
- provide job enrichment opportunities
- provide additional skills development opportunities
- acknowledge and encourage University-wide service (e.g. committees)

Addressing Areas Needing Improvement

Identifying areas requiring improvement does not mean that an individual requires discipline. The purpose of performance management is to help employees to do their jobs so that individual and University goals can be achieved. When an employee's performance needs improvement or he/she does something wrong, the problem should be identified and guidance provided - in a positive way. It is critical that any performance issues be dealt with immediately to prevent the possibility of the issues continuing or becoming more serious.

Employees should be given the opportunity to improve their performance before being penalized during the annual performance review interview. This can be effectively handled by a performance meeting. The intent is to provide an avenue for the supervisor and employee to identify and discuss the area(s) needing improvement.

More than one meeting may be required to resolve the issue(s). Keep a written summary of the meeting, describing the agreed upon actions and deadlines. A copy should be provided to the employee. In the unfortunate event that this course of action does not result in improved performance, the supervisor should proceed with progressive discipline and call Human Resources.

Contact Officer:

Associate Vice-President Human Resources

Date for Next Review:

June 2019

Related Policies, Procedures & Guidelines

- a) Appendix A: Trent University Management Group Planning and Review Form

Policies Superseded by This Policy:

- a) N/A

Appendix A

Trent University Management Group

Employee Name		
Position		Department
Appraisal Period Covered:	From:	To:
Criteria for Evaluation	Rating	Comments/Rationale
Core Capabilities		
Leadership Quality		
Management Ability		
Decision Making and Judgment		
Staff and Resources Management		
Communication		
Professional Development		
Special Assignments		
Safety management; AODA Compliance; Employment Equity Compliance		

Results from Previous Years Goals

Goals	Results
1.	
2.	
3.	
4.	
5.	

Rating based on results of goals:

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Planning New Goals	Performance Criteria
1.	
2.	
3.	
4.	

Employee's Strengths/ Accomplishments

Areas that Require Improvement

Learning/ Development Plan

Overall Rating and Comments:

Employee Comments:

I have read and discussed this appraisal with my supervisor.

Signature of Employee

Date

Signature of Supervisor

Date

Signature of Vice President

Date

Performance Planning and Review – Checkpoint Meeting

Performance Measures

Goals:

Plans

I have read and discussed this with my supervisor.

Signature of Employee

Date

Signature of Supervisor

Date