

# Preparing for Your Performance Review

## Performance Management Briefing

In Chancellor Gallagher's June 2016 report to the Board of Trustees, he expressed appreciation for the legacy of reinvention and the pursuit of excellence that serves to support the University's new direction. The Chancellor stated, *"We are not becoming a leading university—we are one. By every measure, we are among an elite class of institutions. As we consider what to do not only to hold our position but also to strengthen it in service to our constituents, our young strategic plan defines our agenda. We have begun to take key steps forward, with more to come. Our success under this plan will be measured by our excellence and reputation, but also by our achievements against our goals. Excellence has to have impact in order to matter."*

To achieve excellence, we must support the excellence of our staff. The process of performance management allows managers and employees to use tools that enable each person to do their best work and realize their full potential. This can be accomplished through:

- having clear organizational goals
- ensuring staff has the training, tools, and resources needed to do their jobs effectively
- providing continuous coaching and conducting an annual review

The performance review process is a shared responsibility between the supervisor and employee. This toolkit provides employees with helpful material to prepare for the 2017 annual performance review.

## Table of Contents

<b>Guiding Principles</b>	<b>4</b>
<b>Understanding the Review Schedule</b>	<b>5</b>
<b>Preparing Your Evaluation</b>	<b>6-7</b>
SAMPLE COLLECTION GATHERING RELEVANT DOCUMENTATION PERSPECTIVE BUILDING SELF-EVALUATION	
<b>Affective Behaviors During Review Meetings</b>	<b>8</b>
<b>Want to Learn More?</b>	<b>9 - 14</b>
RESOURCES POLICIES FORMS LIFE SOLUTIONS	
<b>Key Dates</b>	<b>14</b>
<b>Performance Management FAQ</b>	<b>15-16</b>
<b>Budgeting Process</b>	<b>17</b>
<b>Annual Compensation Process for All Staff FAQ</b>	<b>18-20</b>

## Guiding Principles

- Performance management is an ongoing process of communication between a manager and an employee in support of accomplishing the goals of the organization. The manager and employee plan together to build on strengths and develop areas in need of improvement.
- Individual goals should align with the University-wide Strategic Plan and organizational values including Diversity and Inclusion
- Individual goals should align with School or Department goals.
- Performance expectations include all job outcomes:
  - Impact of employee interactions with peers, students, customers, internal partners
  - Services and products delivered by the employee
  - Processes used and policies followed
- Organizational values demonstrated on-the-job
- The performance management process is designed to evaluate an employee's performance over a specified period.
- Each employee is entitled to a written performance appraisal. It is the role and responsibility of managers to conduct a performance review. An employee's position should not dictate more or less access to the highest-level ratings (i.e., exceptional.) Managers should be able to articulate to employees at all levels what it takes to achieve an exceptional rating, to accomplish major goals, and to make unique contributions worthy of the highest-level ratings.

## Understanding the Review Schedule

Whether you relish it or dread it, your performance review is the single biggest part of your employee record. That's why you have to dedicate time to prepare for your evaluation process.

This process is a shared responsibility between your supervisor and you.

Your first step in sharing the responsibility is knowing the review schedule. This includes:

- Being aware of deadlines
  - Knowing what's due
  - Who to send materials to
  - When completed materials are due
- Carving out time on your calendar to get all preparation review work done
  - Completing materials at least one week early
  - Add extra time to accommodate any unanticipated events
- Doing leg work ahead of time
  - Collecting several samples of your work results
  - Gathering relevant documents, letters, notes
  - Sending these samples to your supervisor ahead of time

The performance review process at Pitt begins in May and continues through June.

## Preparing Your Evaluation

Once you have set aside dedicated time to prepare for your performance review, consider taking the following steps.

### Step 1: Sample Collection

- Collect several samples of your work
  - Think about your milestones
  - Samples might include:
    - Videos
    - PowerPoint slides
    - Excel spreadsheets
    - Secured grants
    - Developed services
- Have several samples prepared on the day of the review
- Consider sharing these samples with your supervisor before the day of the evaluation

### Step 2: Gather Relevant Performance Documentation

- Gather letters, notes, e-mails or other documents that indicate the quality of your work or the impact you have had over the last 12 months.
- Think about who you have interacted with during the evaluation period and any feedback you might have gotten. This might include students, peers, vendors, parents, and significant stakeholders.
- The more supporting documentation you have, the more you contribute to your shared responsibility for the performance evaluation process. Supervisors enjoy making decisions based on data. The more supporting documentation you have, the easier the evaluative process is.

### Step 3: Perspective Builder

- Seek advice from a person you might consider your work mentor.
- Ask for feedback on what you do well and your areas of opportunity to improve.

### Step 4: Self-Evaluation

- Before you dive into completing your self-evaluation, stop and take time for self-reflection.
- Ask yourself about your career aspirations. This might include:
  - Desired tasks, roles and responsibilities you might want in the future
  - Desired special projects you might want to lead
  - Desired committees or shared governance taskforces of which you might want to participate. If your supervisor asks what's next for you, be prepared to answer.

- Read through your last two reviews. Identify areas where you have made marked improvements. For example, if you have been told in the past that part of your technical skill base could be improved, and you feel it really has since then, be ready with work products and documentation to make your case.
- Also be prepared to discuss any mistakes you have made and, most importantly, what you've learned. Don't dwell on the mistakes, dwell on the knowledge you've acquired through the situation.
- Now that you have adequately prepped, you are now ready to complete your self-evaluation.
- <http://www.hr.pitt.edu/manager-re/staff-perf/resources>

## Affective Behaviors During the Review Meeting

Receiving feedback in a positive manner is critical for your growth and is an important attribute in shared responsibility. Recommendations for receiving feedback well include:

- Avoiding defensiveness
- Listening patiently
- No Interruptions
- Taking notes
- Using positive and comfortable body language
- Not putting blame on others
- Accepting praise graciously



## Resources

### Goal-Writing Tips

- A [step-by-step guide](#) for writing SMART goals

## University of Pittsburgh Performance Appraisal Policy and Procedure

- [University of Pittsburgh Policy 07-05-01](#)
- [University of Pittsburgh Procedure 07-05-01](#)

## Performance Management Forms

- [Annual Goals Form](#)
- [Staff Performance Appraisal Form](#) (Supervisory Role)
- [Staff Performance Appraisal Form](#) (Non-Supervisory Role)
- [Self-Appraisal Form](#)

For more information on the above resources, please visit the OHR web page:  
<http://www.hr.pitt.edu/manager-re/staff-perf/resources>

## *LifeSolutions*

1-866-647-3432

[www.hr.pitt.edu/lifesolutions](http://www.hr.pitt.edu/lifesolutions)

*LifeSolutions* provides a broad range of services to assist faculty, staff, and their household members to balance work and the stresses of daily life. The services are provided at no cost to you. *LifeSolutions* services include:

- Personalized WorkLife Referrals
- Online WorkLife Resources
- Crisis 24/7 Contact Information
- Counseling and Coaching Services
- Disability and Family Medical Leave Outreach

*LifeSolutions* provides free, 24/7 consultations for managers on handling delicate situations, including performance management. Specific services offered by *LifeSolutions* include:

- Consultations and Incident Support: *LifeSolutions* can help reinforce your effectiveness in managing challenging workplace situations. Explore real-life stories that represent common scenarios.
- Employee Referral: *LifeSolutions* provides performance-based referrals regarding employees. HR can help you determine whether a referral can help the performance management process.
- Training and Workshops: *LifeSolutions* provides training and workshops to address common issues affecting productivity and morale. Employee workshops are available, as well.

If you believe that any of these services would help you or your employees in meeting their goals, please contact the Office of Human Resources. We can work with you to select appropriate programs through *LifeSolutions*.

## Key Dates

<b>Activity</b>	<b>Date</b>	<b>Responsibility</b>
<b>Staff Performance Management Memo Issues</b>	Mid-April	Office of Human Resources
<b>Staff Performance Appraisals Completed</b>	June 30	School and Department Managers
<b>State Budget Passed</b>	June 30	State Legislators
<b>Budget Preparation</b>	July/August	Chief Financial Officer
<b>Chancellor's Memo</b>	Mid-July	Chancellor
<b>CFO Memo</b>	End of July	Art Ramicone
<b>Annual Salary Increase Procedures Manual Issued by OHR</b>	August 1	Office of Human Resources
<b>Annual Goal Setting</b>	July/August	School and Department Managers
<b>Salary Increases Processed</b>	September Payroll (retroactive to July 1)	Payroll Office of Human Resources

## Performance Management FAQs

What is performance management?

*Performance management is the process of managing, coaching, developing, and evaluating employees in order to cultivate relationships and create plans for future success.*

What is the purpose of staff performance management reviews?

*Performance management is an ongoing process of communication between a supervisor and staff, focused on maximizing the performance of the individual, aligned to and in support of the organization's goals.*

What are the components of performance management?

*The performance management process includes the following:*

- *Planning and discussing expectations about job responsibilities and performance standards.*
- *Documenting examples of performance.*
- *Providing ongoing coaching and feedback to support success.*
- *Evaluate the level of achievement of goals and demonstration of performance standards using the University of Pittsburgh Performance Appraisal Form.*

Do probationary employees receive a performance review?

*Probationary employees are reviewed after successful completion of their probationary period using the designated probationary review form.*

Who is required to have a performance review?

*All regular full-time and regular part-time staff employees.*

How often should staff receive performance appraisals?

*All regular full-time and regular part-time staff employees receive an annual appraisal at the end of each appraisal year (July 1 – June 30).*

I am a new employee; do I need a performance review?

*It is recommended that you still complete the annual appraisal. Even though you will not have a lengthy review period to evaluate, it gives you opportunity to become familiar with the process. In addition to becoming familiar with the tool, you will have established a review in which to refer to next year. You can also set goals for next year.*

What are goals?

*Goals are the results expected to be achieved in a given year. These are assignments, projects, and/or responsibilities established at the beginning of an appraisal year and criteria on which success can be measured at the end of the appraisal year.*

Do I have to list goals?

*You do not have to, but it is recommended as part of the performance appraisal process, as it helps you and your supervisor establish a plan of work and development for you for the upcoming year.*

Am I required to do a self-appraisal form?

*The form is encouraged and is designed to provide an insightful and reflective review of individual staff member's performance and to encourage dialogue between supervisors and each staff member.*

Why is ongoing feedback important?

*Managers and employees should engage in ongoing dialogue throughout the year to ensure expectations are being managed appropriately and that there are no surprises at the end of the year. Goals can also be modified or updated during the year. Discussing progress and providing feedback is critical as it helps to reduce confusion and missed goals. It is a great time to discuss any obstacles that may arise and what guidance or resources may be needed.*

What if there has been a supervisor or manager change during the performance period?

*To complete the review, it is a best practice to consult the previous supervisor or manager. If that is not possible, then you should consult the supervisor or manager's manager to get his/her view and input.*

Do I have to sign my review?

*While you are not required to sign your review, signing it acknowledges that you and your manager met and discussed your performance for the year. You may not agree with all of the content, but your signature acknowledges that you met with your manager and discussed your review. There is also a place for employee comments on the review.*

## Budgeting Process

Each year, once the State approves our appropriation and our Board of Trustees approve the University's budget, the University distributes annual target budgets to the units. The budget development effort is led by Senior Vice Chancellor and Chief Financial Officer, Arthur Ramicone, in collaboration with the University Planning and Budgeting Committee (UPBC).

The unit target budgets include funding for salary increases (if applicable to the budget year). This funding is directed into separate allocations for faculty, staff, and graduate students. The Chancellor determines and communicates the percentage split of the faculty and staff salary increases between maintenance, merit, market and equity at the unit level, as well as any holdback (if applicable) at the Senior Officer level. Salary increases are generally processed in the September paycheck, retroactive to July 1.

Following is a timeline of the salary increase process:

Procedure	Timeframe
<b>Online annual salary increase rosters are made available to the administrators of each responsibility center head</b>	Established date in late July
<b>Heads of Responsibility Centers make salary increase allocations to Departmental Supervisors</b>	Will be determined by individual responsibility centers
<b>Department Administrators submit completed departmental salary increase rosters to heads of Responsibility Centers</b>	Will be determined by individual responsibility centers
<b>Heads of Responsibility Centers forward recommendations on departmental roster to Senior Administrative Officers</b> (Chancellor; Senior Vice Chancellor and Provost; Senior Vice Chancellor, Health Sciences and Dean; Senior Vice Chancellor and Chief Financial Officer; Senior Vice Chancellor Business and Operations)	Will be determined by Senior Administrative Officers
<b>Senior Administrative Officers notify Responsibility Center Heads of approval</b>	Established date in late August
<b>Administrators of each responsibility center head complete the online annual salary increase rosters marking all records Approved</b>	Established date in late August
<b>Financial Information Systems loads approved rosters after all records are marked Approved</b>	Established date early September

## Annual Compensation Process FAQs

I received a “successful” rating on my annual appraisal, what is the minimum I should expect in terms of an annual increase?

*All University staff members who have maintained satisfactory performance over the prior year are eligible to receive a maintenance salary increase*

What role does HR play in determining my increase?

*Salary increases are determined at the department level; however, OHR provides guidelines to administrators as to what is appropriate for specific appraisal ratings.*

What are the differences between merit and maintenance?

*Merit increases are based on performance. Maintenance increases are based on cost-of-living adjustments for satisfactory performance.*

Because I make less than \$45,000 per year, should I expect a higher percent increase when compared to staff making over that amount?

*Not necessarily. The additional .5% provided in previous years to those making less than \$45,000 is not guaranteed year over year.*

I am currently in my provisional period; can I expect an increase at the end? Will it be retroactive?

*Increases for those who are in a provisional are available upon successfully completing their provisional period and have a start date prior to 7/1.*

How is raise pool determined each year?

*Once the Commonwealth of Pennsylvania budget is approved, the Executive Committee of the University approves a salary increase pool. Typically, the pool is a combination of an Allocation for Maintenance (Satisfactory Performance) and a portion for merit, market, and equity. In some years, there may also be an allocation to Senior Officers of the University to address unit-level compensation issues.*

What is the effective date of the annual salary increases?

*Annual salary increases are effective at the start of the fiscal year (July 1<sup>st</sup>), with limited exceptions.*

When are annual increases processed?

*Except for limited exceptions, annual increases are processed in the September paycheck, retroactive to July 1<sup>st</sup>.*

What types of exceptions may preclude a retroactive salary increase to occur?

*Exceptions to the rule include those individuals who are in a provisional period, performance improvement plan (PIP), on an unpaid leave of absence between July 1<sup>st</sup> and September 14<sup>th</sup>, and staff on a less-than 12-month assignment. The effective date for these staff is determined based upon the return to work date or start of the new assignment period.*

How should employees be notified of salary increases?

*All employees should be notified by their supervisor or their department designee who should review a letter documenting the amount and basis of their annual salary increase.*

How does a leave of absence effect the annual increase process?

*Any staff member on a leave of absence for medical or personal reasons on or after July 1<sup>st</sup> is eligible to receive an annual increase upon return to active assignment.*

Are staff that terminate from the University before the September salary increase eligible to receive a retroactive annual salary increase?

*Staff who terminate between July 1<sup>st</sup> and August 31<sup>st</sup> are not eligible to receive a retroactive salary increase.*

*Staff who terminate after September 1<sup>st</sup> are eligible for a retroactive salary increase.*

Are staff newly hired to the University eligible for an annual salary increase?

*Staff hired after July 1<sup>st</sup> are not eligible for a salary increase in the current year. Annual increases are intended to reward staff for performance over the prior year (July 1<sup>st</sup> to June 30<sup>th</sup>).*



Want to learn more?

Rath, Tom (February 2007). *Strengths Finders 2.0* Gallup Press ISBN 9781595620156

<http://www.nytimes.com/2011/12/18/jobs/annual-reviews-and-how-to-prepare-for-them.html>

<https://www.inc.com/peter-economy/5-powerful-ways-to-ace-your-next-performance-review.html>