Performance Management Toolkit for Managers
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 not only 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

This toolkit provides managers with helpful material to prepare for the 2017 annual staff performance management program and to set goals for the next year.
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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, including:
  - Impact of employee interactions with peers, students, customers, and 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 their 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.
The Role of the Manager in Managing Performance of Employees

Managers are responsible for:

- Sharing the vision, mission, and strategic plan of the University of Pittsburgh to help employees understand how their work supports the University.
- Communicating School or Department goals to employees.
- Developing performance expectations for their employees and meeting with the employee at the start of the year to share expectations.
- Communicating and documenting specific examples about employee’s goals, performance and development throughout the fiscal year.
- Ensuring that employees have the tools, resources, and training and development needed to carry out their job responsibilities successfully.
- Recognizing successful performance throughout the year.
- Coaching for improved performance and taking corrective action as necessary.
- Provide opportunities throughout the year to help their employees learn and grow.
Performance Management Cycle and Communications Sequence

Phase 1: Planning

- Consider updating the employee’s job description to incorporate the School or Department strategic plan and ensure it aligns with the current job duties.
- In July-August of the fiscal year, set up a time with your employee to discuss goals, review performance standards, and set expectations for the upcoming year.
- Identify how often you and your employee will meet to discuss goal progress and examples of standards throughout the year.
- Goal writing tips: [http://www.hr.pitt.edu/sites/default/files/uploads/goal-writing-tips.pdf](http://www.hr.pitt.edu/sites/default/files/uploads/goal-writing-tips.pdf)

Phase 2: Tracking

- Ask your employee to provide examples to you of their work accomplishments throughout the year.
- Keep a file for each employee, and add both the employee’s examples and your own to help write their review at the end of the fiscal year.

Ongoing Feedback and Coaching Throughout the Performance Management Cycle

- Conduct formal and informal coaching on a regular basis with each of your employees.
- Meet regularly with your employees to provide timely, specific, positive and developmental feedback. This helps an employee to know if he/she is on target toward meeting their goals and your expectations.
- Be consistent and provide a balance of both positive and developmental feedback.
Phase 3: Reviewing

- The performance appraisal summarizes the employee’s contributions over the entire fiscal year (July 1- June 30).
- Review your employee’s file and incorporate both their examples and yours of their performance throughout the year.
- Talk with your Department to identify when the appraisal review process should begin.

The following needs to occur:

- Your employee completes a self-appraisal,
- You review the employee’s Development Plan,
- You complete a performance appraisal for the employee,
- You conduct a performance appraisal meeting with the employee,
- Both you and your employee sign the performance appraisal.
- Provide a hard copy to your employee and file the original in the employee’s file.

http://www.hr.pitt.edu/manager-re/staff-perf/Guidelines

Performance Management Cycle

- Performance Appraisal Evaluation
- Development Plan
- Final Review Discussion

Reviewing

Planning

Tracking

- Performance Standards
- Goals
- Performance Expectations Discussion

- Mid-year review
- Ongoing Feedback and Coaching

- Documenting Performance
  - Behavioral Examples
  - Goal Progress
Best Practices When Completing a Performance Appraisal

- Meet regularly with your employee throughout the fiscal year to provide feedback to AVOID any surprises for your employee!
- Include objective examples in the review.
- For employees in similar jobs, hold them accountable to the same standards.
- Disregard non-work related events such as approved leave, FMLA, participation in an investigation, and accommodation requests.
- Gather examples you have collected, the employee’s examples submitted to you throughout the year, and any other feedback sent to you from others over the fiscal year to begin completing the appraisal.
- Review goals set at the start of the year and if your employee has met those goals.
- Identify areas of strength and development for your employee.
- Identify ways you can support your employee.

Best Practices When Preparing for the Performance Appraisal Discussion

- As the appraisal year ends (June 30), set a date and time that is mutually convenient for you and the employee for their performance appraisal discussion.
- Be sure enough time is allotted (1 – 1.5 hours) that is free from interruptions.
- Select a location that is confidential, comfortable for both you and your employee.
- Provide the employee with information on completing and submitting their self-appraisal.
- Maintain good eye contact
- When your employee is speaking, don’t interrupt
- Ask clarifying questions
- Focus on the expectations you set at the beginning of the fiscal year during the “planning phase”.
- Focus on your employee’s specific behaviors, not generalities.
- Ask for the employee’s opinion and ideas about how to approach work or resolve problems.

Manager Preparation

- Take Implicit Bias Training during the year https://implicit.harvard.edu/implicit/
- See detailed Guidelines for Supervisors on the OHR web page: http://www.hr.pitt.edu/manager-re/staff-perf/Guidelines
Goal Setting

Writing Goals

Benefits of an Effective Goal-Writing Effort:
- Employees gain a more precise understanding of what is expected of them
- Manager can shift from stressing tasks, activities, and efforts to stressing results
- Employees feel encouraged to operate at a self-managed level
- Manager has a better understanding of the capabilities of the employees and can more effectively utilize their human resources

Planning the Goal:
- Employees are in a better position to set their own goals and objectives when they understand the organizational goals.
- Managers and employees must share a common understanding of:
  - What is to be accomplished
  - How performance is to be measured

Considerations for Goal-Writing:
- How Individual Goals will support the needs of the organization
- Whether Individual Goals are aligned with Organization Goals (“Goals Cascade”)

Goals Cascade:
Criteria for Goals (SMART):

<table>
<thead>
<tr>
<th>✓ Is the Goal...?</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>S Specific</td>
<td>Clearly articulates the desired result you are expected to achieve</td>
</tr>
<tr>
<td>M Measurable</td>
<td>Includes a means (quantity or quality parameters) by which you will know you have succeeded in achieving this goal</td>
</tr>
<tr>
<td>A Achievable</td>
<td>There is a reasonable chance of completing the goal</td>
</tr>
<tr>
<td>R Relevant</td>
<td>The goal is in the scope of the employee’s job – within their area of influence</td>
</tr>
<tr>
<td>T Time Bound</td>
<td>There is a clear deadline or schedule identified</td>
</tr>
</tbody>
</table>

See detailed Goal Writing Tips on the OHR web page: [http://www.hr.pitt.edu/manager-re/staff-perf/resources](http://www.hr.pitt.edu/manager-re/staff-perf/resources).
Helpful Coaching Tips

• Conduct Career Conversations
• Learn about “mentoring” and “sponsoring”
• Schedule time to focus on developing your team
• Embrace a multi-dimensional view of development: Think 70:20:10. Research tells us that around 70% of learning comes from on the job experience, 20% comes from feedback and coaching, and 10% comes from formal instructional activities. Assist your employee in developing by taking a multi-dimensional view.
• Coach, mentor and sponsor those not like you.
• Challenge an employee with new projects and tasks, when you observe them getting too comfortable
• Encourage lateral moves, even moves outside of your department or responsibility center, if there is limited opportunity to promote people [addresses the tendency to want to keep effective employees.]
• Value depth of expertise and assign work accordingly, if you are frustrated when others do not want to progress [Ask yourself has the employee communicated an interest in developing other skills.]
OHR Performance Management Resources and Tools

Providing constructive feedback can be challenging. Identifying performance issues and viable solutions can be as difficult as putting together a puzzle. As a manager, OHR will provide support to optimize your ability to coach employees whether they are high performers or need additional support. All of the tools can be found on the OHR website: [http://www.hr.pitt.edu/manager-re/staff-perf/resources](http://www.hr.pitt.edu/manager-re/staff-perf/resources).

Performance Management Training

Instructor-led Courses are offered on a rotating basis through the [Faculty & Staff Development Program (FSDP)](http://www.hr.pitt.edu/manager-re/staff-perf/resources)

- Managing Staff Performance: Maximizing Your Staff's Potential
- Managing Staff Performance: Addressing the Need for Improvement
- Feedback: An Essential Leadership Skill
- Leadership and Effective Talent Development
- Fostering Diversity and Inclusion in the Workplace
- Diversity and Inclusion Certificate Program

Online Courses offered through lynda.com

- [Performance Review Fundamentals](http://www.hr.pitt.edu/manager-re/staff-perf/resources) with Todd Dewett (log in through lynda.pitt.edu and search for course title)

For more information on training, please visit the OHR web page: [http://www.hr.pitt.edu/manager-re/staff-perf/resources](http://www.hr.pitt.edu/manager-re/staff-perf/resources)
Tips for Goal-Writing, Feedback, and Coaching

Goal-Writing Tips
- A step-by-step guide for writing SMART goals

Feedback
- Delivering Employee Feedback with Todd Dewett (Lynda.pitt.edu)
- Providing Feedback from: Building High-Performance Teams with Mike Figliuolo (Lynda.pitt.edu)

Coaching
- Coaching and Developing Employees with Lisa Gates (Lynda.pitt.edu)
- Coaching Employees from: Management Fundamentals with Britt Andreatta (Lynda.pitt.edu)

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
Performance Coaching Resources:

<table>
<thead>
<tr>
<th>Pitt Resource</th>
<th>Contact Info</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Organization Development</strong></td>
<td>412.624.8044 <a href="mailto:hr-odcont@mail.pitt.edu">hr-odcont@mail.pitt.edu</a></td>
</tr>
<tr>
<td>Establishing goals and maximizing staff potential</td>
<td></td>
</tr>
<tr>
<td><strong>Employee Relations</strong></td>
<td>412.624.4645</td>
</tr>
<tr>
<td>Addressing the need for improvement</td>
<td></td>
</tr>
<tr>
<td><strong>LifeSolutions</strong></td>
<td>1-866-647-3432 <a href="http://www.hr.pitt.edu/lifesolutions">http://www.hr.pitt.edu/lifesolutions</a></td>
</tr>
<tr>
<td>Assistance to employees to balance work and stresses of daily life</td>
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</tbody>
</table>

Employee Relations Staff:

<table>
<thead>
<tr>
<th>Person</th>
<th>Contact Info</th>
</tr>
</thead>
<tbody>
<tr>
<td>Robert Hartman</td>
<td>412-628-1969 <a href="mailto:robert.hartman@pitt.edu">robert.hartman@pitt.edu</a></td>
</tr>
<tr>
<td>Jane Volk</td>
<td>412-624-8138 <a href="mailto:jvolk@pitt.edu">jvolk@pitt.edu</a></td>
</tr>
<tr>
<td>Keith Kapusta</td>
<td>412-624-8049 <a href="mailto:kapusta@pitt.edu">kapusta@pitt.edu</a></td>
</tr>
<tr>
<td>Tenecia Ross</td>
<td>412-624-8058 <a href="mailto:tmross@pitt.edu">tmross@pitt.edu</a></td>
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</table>
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

<table>
<thead>
<tr>
<th>Activity</th>
<th>Date</th>
<th>Responsibility</th>
</tr>
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<tbody>
<tr>
<td>Staff Performance Management Memo</td>
<td>Mid-April</td>
<td>Office of Human Resources</td>
</tr>
<tr>
<td>Issues</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff Performance Appraisals Completed</td>
<td>June 30</td>
<td>School and Department Managers</td>
</tr>
<tr>
<td>State Budget Passed</td>
<td>June 30</td>
<td>State Legislators</td>
</tr>
<tr>
<td>Budget Preparation</td>
<td>July/August</td>
<td>Chief Financial Officer</td>
</tr>
<tr>
<td>Chancellor’s Memo</td>
<td>Mid-July</td>
<td>Chancellor</td>
</tr>
<tr>
<td>CFO Memo</td>
<td>End of July</td>
<td>Art Ramicone</td>
</tr>
<tr>
<td>Annual Salary Increase Procedures</td>
<td>August 1</td>
<td>Office of Human Resources</td>
</tr>
<tr>
<td>Manual Issued by OHR</td>
<td></td>
<td></td>
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<tr>
<td>Annual Goal Setting</td>
<td>July/August</td>
<td>School and Department Managers</td>
</tr>
<tr>
<td>Salary Increases Processed</td>
<td>September</td>
<td>Payroll</td>
</tr>
<tr>
<td></td>
<td>Payroll Office</td>
<td></td>
</tr>
<tr>
<td></td>
<td>(retroactive to July 1)</td>
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</table>
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 a staff performance management review?
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.
- Evaluating 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:

<table>
<thead>
<tr>
<th>Procedure</th>
<th>Timeframe</th>
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<tbody>
<tr>
<td>Online annual salary increase rosters are made available to the administrators of each responsibility center head</td>
<td>Established date in late July</td>
</tr>
<tr>
<td>Heads of Responsibility Centers make salary increase allocations to Departmental Supervisors</td>
<td>Will be determined by individual responsibility centers</td>
</tr>
<tr>
<td>Department Administrators submit completed departmental salary increase rosters to heads of Responsibility Centers</td>
<td>Will be determined by individual responsibility centers</td>
</tr>
<tr>
<td>Heads of Responsibility Centers forward recommendations on departmental roster to Senior Administrative Officers (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)</td>
<td>Will be determined by Senior Administrative Officers</td>
</tr>
<tr>
<td>Senior Administrative Officers notify Responsibility Center Heads of approval</td>
<td>Established date in late August</td>
</tr>
<tr>
<td>Administrators of each responsibility center head complete the online annual salary increase rosters marking all records Approved</td>
<td>Established date in late August</td>
</tr>
<tr>
<td>Financial Information Systems loads approved rosters after all records are marked Approved</td>
<td>Established date early September</td>
</tr>
</tbody>
</table>
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?

Maintenance increases are based on cost-of-living adjustments and tied to satisfactory/successful performances. All University staff employees who have maintained a satisfactory/successful performance over the last fiscal year are eligible to receive a maintenance salary increase. Satisfactory/successful performances are defined as a staff employee who has fulfilled their individual responsibilities as part of their role at the University.

Merit increases are awarded based on an individual’s performance. If a staff employee has performed at or above expectations in their required responsibilities and roles on a recurring or one-time basis, they are eligible for a merit increase during the fiscal year. Merit increases are awarded in addition to a maintenance increase.

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

Retroactive pay refers to a salary increase for an eligible University employee for their performance during the previous fiscal year. Retroactive salary increases are based on the effective date of the annual salary increase, not the processed date. Increases for those who are in a provisional period are available upon successful completion and have a start date prior to July 1st. Exceptions to this retroactive pay increase include those individuals who are in a provisional period between July 1 and September 14.

How is the salary pool determined each year?

The University plans salary modifications around the state budget, which, once passed, typically begin in the month of July. The University Planning and Budget Committee then approves the annual University budget, which includes a salary pool. The pool is a combination of an allocation for maintenance and for merit, market, and equity. First, the salary pool is used to distribute pay increases in the form of maintenance funds to employees who have met or exceeded performance expectations over the last fiscal year. The remaining allocation is then distributed to responsibility center leaders for merit, market and equity increases. All pay increases distributed to employees will be included in the September paycheck.

What is the effective date of the annual salary increases?

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

When are annual increases processed?
Except for limited exceptions, annual increases are processed in the September paycheck, retroactive to July 1st.

What types of exceptions may preclude a retroactive salary increase to occur?
Exceptions include those individuals who are in a provisional period, performance improvement plan (PIP), on an unpaid leave of absence between July 1 and September 14, and staff on an assignment of less than 12 months. More information on limited exceptions and retroactive pay guidelines are available in the Annual Salary Increase Policies and Procedures Manual.

How will faculty and staff be notified of potential salary increases?
Faculty and staff employees will receive communication from their responsibility center administration detailing salary increases. The communications should explain the consideration and basis for an increase, which are dependent upon satisfactory/successful (and better) performance over the past year. Communications are typically sent to faculty and staff employees in September.

How does a leave of absence affect the annual increase process?
Any staff employee on a leave of absence for medical or personal reasons on or after July 1st is eligible to receive an annual increase upon return to active assignment. Exceptions include those individuals who are on an unpaid leave of absence between July 1 and September 14.

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 1st and August 31st are not eligible to receive a retroactive salary increase. Staff who terminate after September 1st are eligible for a retroactive salary increase.

Are staff newly hired to the University eligible for an annual salary increase?
Annual salary increases are meant to reward staff for meritorious performance over the previous fiscal year from July 1 to June 30. Newly hired staff and staff currently in their provisional period are not eligible for an annual salary increase if their start date is after July 1 or if they have not successfully completed their provisional period by July 1.
Want to learn more?


Murphy, Paul. A. (2013, March 18). Four ways to give good feedback. *Time*

*Explore Implicit Bias and Microaggressions*

[http://kirwaninstitute.osu.edu/research/understanding-implicit-bias/](http://kirwaninstitute.osu.edu/research/understanding-implicit-bias/)