

CONTENTS

Page

Messages from Key Stakeholders - - - - - i - iii

PART A - INTRODUCTION

A-1 – Background to this Manual- - - - -	1-3
A-2 – The Purpose of This Manual - - - - -	3
A-3 – UWIMONA’s Performance Management Philosophy - - - - -	3-4
A-4 – UWIMONA’s Performance Appraisal Policy Statement - - - - -	4

PART B - ESTABLISHING THE BASES

B-1 – Hierarchy of Goals and Objectives - - - - -	5
B-2 – Relationship of Vision, Mission, Goals, Objectives and Activities - - - - -	6
B-3 – UWIMONA’s Strategic, Tactical and Operational Alignment of Goals & Objectives - - - - -	7
B-4 – Definitions - - - - -	8
B-5 – Writing Performance Objectives (Personal) - - - - -	9-10
B-6 – Writing Performance Standards and Expectations (Personal) - - - - -	11
B-7 – Performance Indicators - - - - -	12-13
B-8 – Examples of Objectives with Clear Standards and Expectations - - - - -	14
B-9 – Rating Performance against Preset Objectives - - - - -	15-16
B-10 – Conclusion -12 Steps - - - - -	17-18
B-11 – Summary -Writing Objectives/Standards - - - - -	19

PART C – DOING THE PERFORMANCE APPRAISAL

C-1 – The Performance Appraisal Process and Cycle - - - - -	20
C-2 – Guidelines for doing the Performance Appraisal - - - - -	21-33
Performance Appraisal Process Flow Chart - - - - -	34
Appendices - - - - -	35-37

Message From Principal, Mona

This Manual addresses the conduct of Performance Appraisals; a key component of Performance Management which is a major issue confronting organizations today. Performance management is of crucial importance in a complex organization such as the University of the West Indies (UWI) where we must be able to evaluate the performance of units, centres, departments, faculties, and campuses with as much rigour as we do for the offices of finance/bursaries which are governed by financial reporting standards. The performance appraisals of staff constitute the starting point. The performance of staff, at all levels, is the source of the institution's effectiveness and the method of assessing this performance must be valid, reliable, fair and designed to have both evaluative and developmental functions.

Various models exist for the measurement of performance – some address inputs and others look at process, but most human resource researchers and practitioners consider outputs to be the true indicator of performance. We pay attention to inputs through recruitment and to process by developing systems and strategies geared towards efficiency and effectiveness and ensuring that training and development increase the capabilities of staff to function in the working environment. The vital questions however, are those which address outputs and they form the basis of the performance appraisal. These include:

- Are staff members achieving the objectives set?
- How effective are the existing systems?
- Have the products and services provided for our clients improved?
- How have training and development enhanced the abilities of staff to develop these products and deliver these services?
- How has this enhanced capability been demonstrated?

The indicators which are used to provide answers to such questions must be answered in measurable terms which allow for assessment and also guidance in the development of staff members. What is most important is that they must contribute to the growth within our institution of a results-oriented culture which demands that each staff member is not only aware of his or her role in UWI's overall effectiveness but also commits to satisfying this broad objective.

This commitment will be critical to the success of the UWI Strategic Plan for 2007 -2012 as it is individual and collective action and results which will advance the institution and enable UWI, not merely to survive in the face of a changing and competitive higher education landscape worldwide, but also to grow and thrive in that environment.

*Elsa Leo-Rhynie, PhD
Pro Vice Chancellor and Principal, Mona Campus*

Message from Director of Human Resource Management Division

This Policy and Procedures Manual is the culmination of several months of engaging in discussion with various stakeholders of the University Community. We were able to gather data to assist us in the process of developing a formal, comprehensive system of performance Appraisal for all members of the Administrative, Technical and Service Staff. I draw to your attention that this Performance Appraisal System serves a number of purposes, but I am highlighting two – Job Standards and Feedback. Job Standards allow for Heads of Department and/or Supervisors to clearly articulate and define what he or she is expecting of staff in the performance of their duties. Feedback provides a structured format for Heads of Department or Supervisors to discuss performance issues with staff on a regular basis. Therefore, our staff can feel assured that the Performance Appraisal System will be beneficial. The System possesses the attributes of clarity, openness and fairness which we believe will make the process very effective. Because of the emphasis that the University is placing on these attributes, it will again engage in a series of sensitization programmes and re-training of supervisors (appraisers) to ensure that these values are maintained.

The Manual is easy to use. It not only provides guidelines on how performance appraisal should be conducted, but it also provides easy-to-understand examples on Objectives Setting and Performance Rating. I am confident that our staff will welcome this new system of assessing performance as it is specifically designed for the Administrative Technical and Service Staff.

I welcome you on board, as we embark on a journey towards full compliance with the policy which indicates that every member of staff, at all levels, is to be assessed on an annual basis, if the University is to be an agent of growth, development and transformation.

*Allister Hinds, PhD
Director, Human Resource Management Division*

Message from President, MONATS

Mona Administrative and Technical Staff (MONATS) views the Annual Staff Appraisal report as an objective assessment for the total development and progress of the employee. This report is not to be construed or viewed as an instrument for instigating disciplinary or punitive action against an employee. The appraisal report should provide the ideal opportunity for employees to discuss and exchange ideas freely and objectively.

Heads of Department/Supervisors, who too ought to be appraised, must acknowledge that a positive approach to supervision is necessary to minimize pitfalls in the preparation of the report. Therefore for the report to meet its objective, thereby eliciting the best possible results out of the employee, the approach to supervision has to be non-authoritarian, un-biased and devoid of any personal reaction to the individual being assessed.

*Patrick Thwaites
President, MONATS*

Part A – INTRODUCTION

A1 – Background to this Manual

The University of the West Indies, Mona recognises the importance of attracting, training, and retaining competent staff in all of its Faculties, Departments, and Business Units. This is necessary in order to achieve its strategic, tactical and operational objectives, and by so doing, achieve its Mission.

In addition, The University is currently engaged in a strategic repositioning programme, and an effective Performance Management System is essential to the success of this exercise.

Central to these objectives is the need for an easy to understand yet effective **Performance Management System for all of its Human Resources**. As a consequence, this Manual is presented in three parts:

- ◆ **Part A-Introduction** - (Background, Purpose, Philosophy and Policy Statement)
- ◆ **Part B-Establishing the Bases** - (Steps 1-4)
- ◆ **Part C-Doing the Performance Appraisal** - (Guidelines)

There are two separate groups of staff at UWI, Mona:

1. The Academic, Senior Administrative and Professional (ASAP) staff represented by the West Indies Group of University Teachers (WIGUT).
2. The Administrative, Technical and Service (ATS) staff with representation by two Unions, Mona Administrative and Technical Staff (MONATS) and The University and Allied Workers' Union (UAWU).

This **Performance Management Policy and Procedures Manual** is written exclusively for the Administrative, Technical and Service (ATS) staff. The Human Resource Management Division (**HRMD**) of the Mona Campus is entrusted with the responsibility of developing, implementing and maintaining the Performance Management System for this Group of employees (ATS).

The **HRMD** and both Unions recognise that an **effective, efficient** and **affective** Performance Management System will achieve a number of important organisational benefits, including the following:

- a) Provide an opportunity for the setting of performance standards and objectives in conjunction with staff members and in keeping with organisational goals.
- b) Provide Heads of Department and Supervisors with a method of objectively evaluating the performance of their staff and to give feedback.
- c) Provide an opportunity for staff to be given guidance and direction and to participate in the identification of their Training Needs, as they relate to current jobs and career growth.
- d) Provide a framework for promoting a culture of **responsibility, accountability** and **transparency**.
- e) Provide a basis for equitable reward and recognition, as well as providing inputs for succession planning.

The intention is to establish a system which is comprehensive, yet easy to understand and administer, and which provides for formal appraisal of Job Performance against the required objectives, standards and expectations.

All parties will therefore work together to ensure that the system works in a fair and predictable manner. This Performance Management Policy and Procedures Manual (**PMP&PM**) will therefore, be made available to all relevant stakeholders and will be supplemented by training and be subject to revision as the need arises. A critical component of this system is a new unified Performance Appraisal Instrument which is designed to assess key performance factors and identify the developmental needs of each individual. It must be stressed here that feedback generated through the system, benefits both management and staff.

This formal system is not intended to diminish or replace the need for normal on-the-job counseling and coaching, but rather, as a complementary management tool in the quest for improved performance and accountability. It underscores the need for alignment between departmental and individual goals, and the need to clarify expectations at the beginning of each appraisal cycle.

This Performance Management Policy and Procedures Manual along with the required training should enable appraisers to carry out their appraisals with confidence. It should be made accessible to all persons who have responsibility for appraising the work of others in the ATS Group. One way of doing this, is to make it available to users through the PeopleSoft HRMIS as soon as the Performance Appraisal Module is fully activated.

Finally, the PMP&PM is only as effective and efficient as the persons entrusted with its administration. As with any system with human components, disagreements may arise from time to time. For this reason the system provides for an appeals process which, carried out under the watchful eyes of management and unions, should minimise, if not eliminate, any perceptions of unfair treatment.

A2 – The Purpose of this Manual

This Performance Management Policy and Procedures Manual is provided to ensure consistency in the general application and administration of the Performance Management System, as well as uniformity in the interpretation and evaluation of Performance Appraisal criteria.

This manual functions as a policy document, and reference sourcebook for users and other stakeholders who need to understand how the University's Performance Management System is designed to function.

The detailed procedures outlined are intended to make explicit the responsibilities of both appraisers and appraisees to ensure that the evaluative and developmental objectives of the System are achieved.

This manual will be updated and reissued periodically to reflect policy and procedural changes which may have become necessary. It is very important that the relevant Unions are involved in such decisions and that all Stakeholders are updated accordingly.

A3 – Performance Management Philosophy

The University of the West Indies, Mona is a Teaching and Research Institution, which is also committed to be a Learning Organisation. The key tenet of a Learning Organisation is a philosophy of continuous improvement in all aspects of its endeavours. In Learning Organisations mistakes are not repeated. Critical incidents are rigorously investigated to identify root causes and preventive measures put in place.

This means that employee performance and the satisfaction of internal and external customer requirements can always be improved. In the highly competitive and rapidly changing environment in which the University presently finds itself, this is an indispensable philosophy. A

Performance Management System based on Management by Objectives and Results, supports this philosophy.

Finally, the University recognises the following philosophical underpinnings which govern its Performance Management System:

- Planning and performance management is a two way process involving both the employee and the supervisor.
- Appraisal of employee performance must be based on objective, job related criteria developed and understood in advance by both supervisor and subordinate.
- The appraisal of Job performance is based on observable and measurable job behaviour as much as is humanly possible and not on personality or other subjective factors.
- Setting objectives for future performance and growth is as important as appraising past performance.

It should be noted that discussions regarding **Compensation and Benefits** issues, although sometimes relying on information derived from Performance Appraisals, are better held separately.

A word about disciplinary action. The Performance Appraisal Instrument and Interview is not intended to be used to **initiate** disciplinary action or to be held as a “big stick” over any employee. The documentary evidence on performance appraisals may, however, be used to **justify** disciplinary action or **exonerate** employees when such action is taken or contemplated.

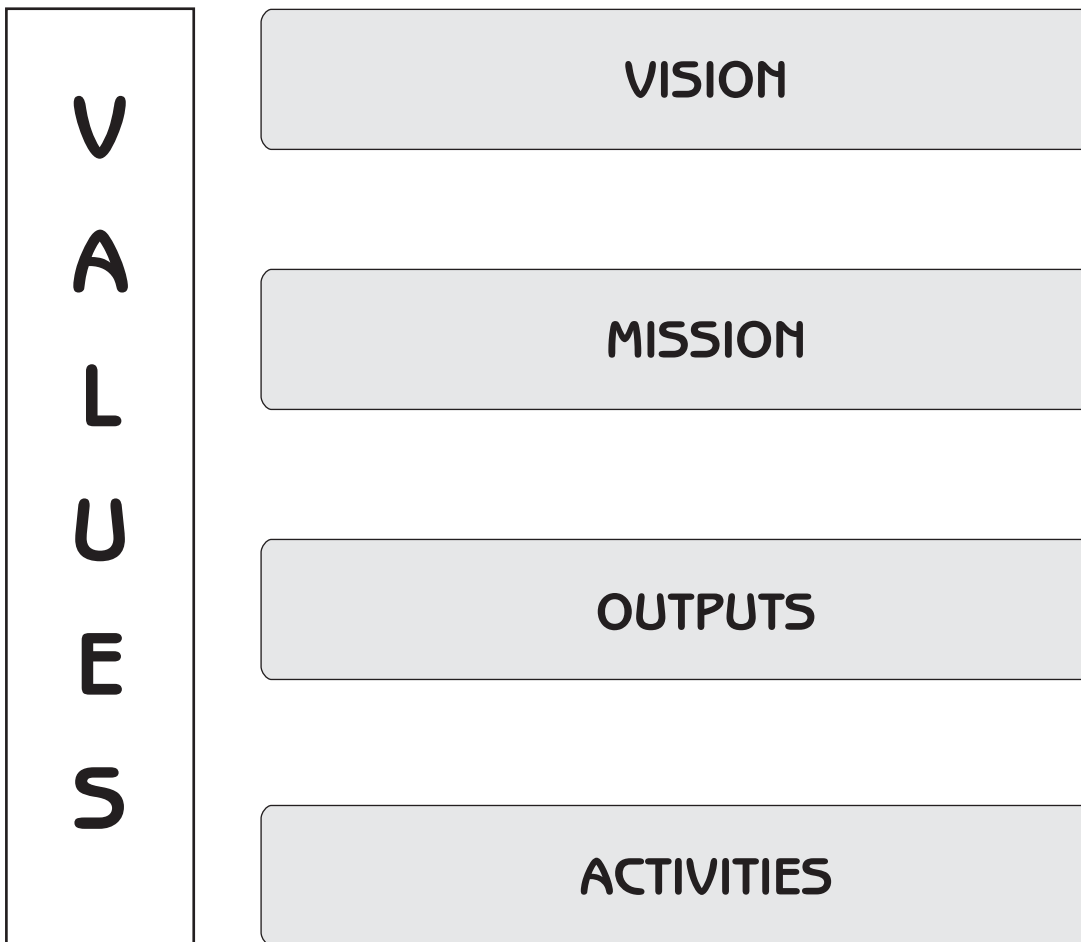
A4 – Performance Appraisal Policy Statement

“The University of the West Indies, Mona, recognises that every staff member has a right to know how he or she is performing and it is the responsibility of the University to provide this information. This should be done on an ongoing basis; however, overall performance shall be formally appraised and documented at least once during each twelve (12) month period.

It is therefore incumbent on each Faculty, Department and/or Business. Unit, to communicate and clarify expectations. This is to be done by setting objectives and/or establishing clear standards of performance at the beginning of each Appraisal Cycle. It is against these expectations, objectives and standards that employee performance will be appraised.”

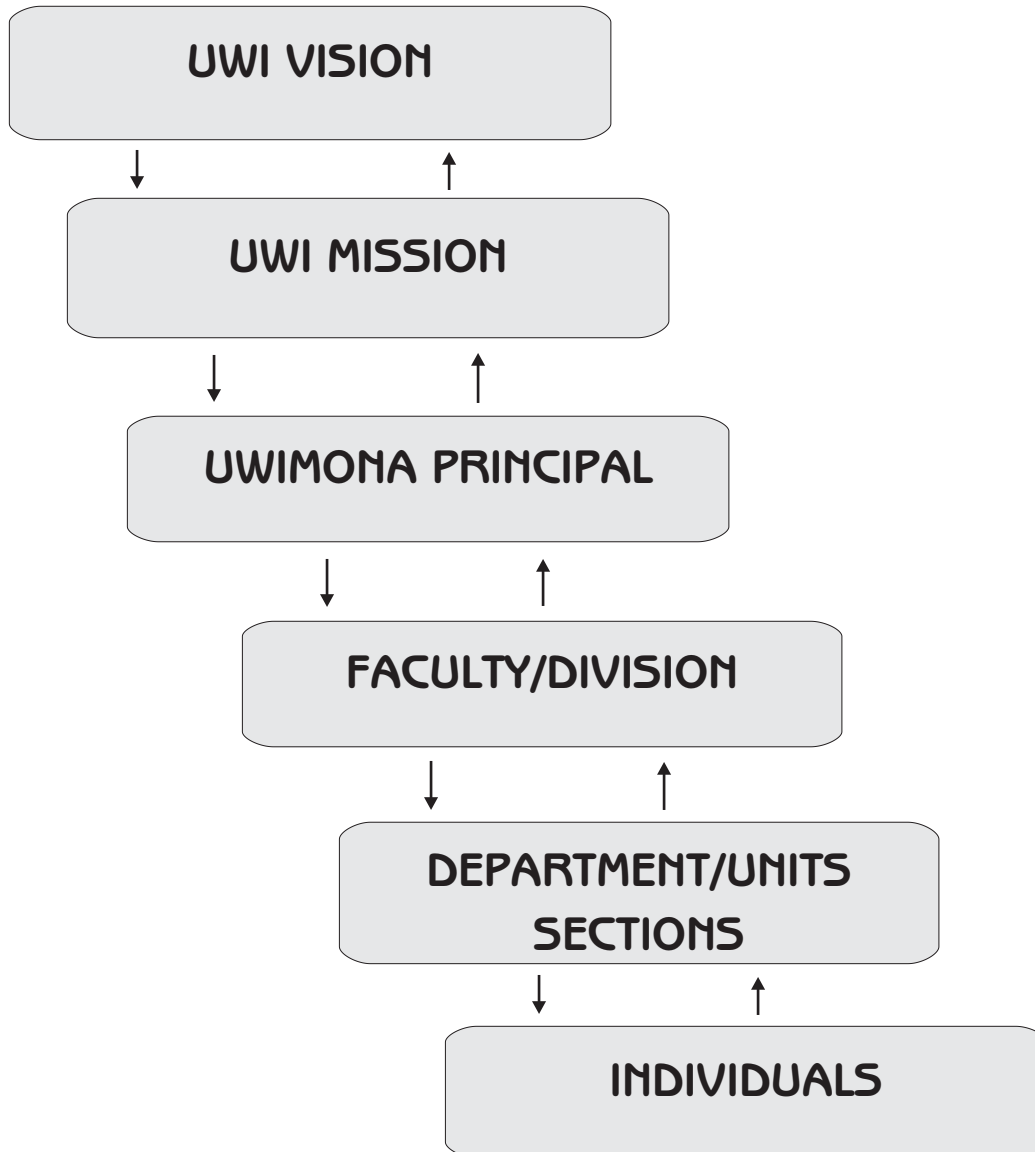
Part B – ESTABLISHING THE BASES

B1 – Hierarchy of Goals and Objectives



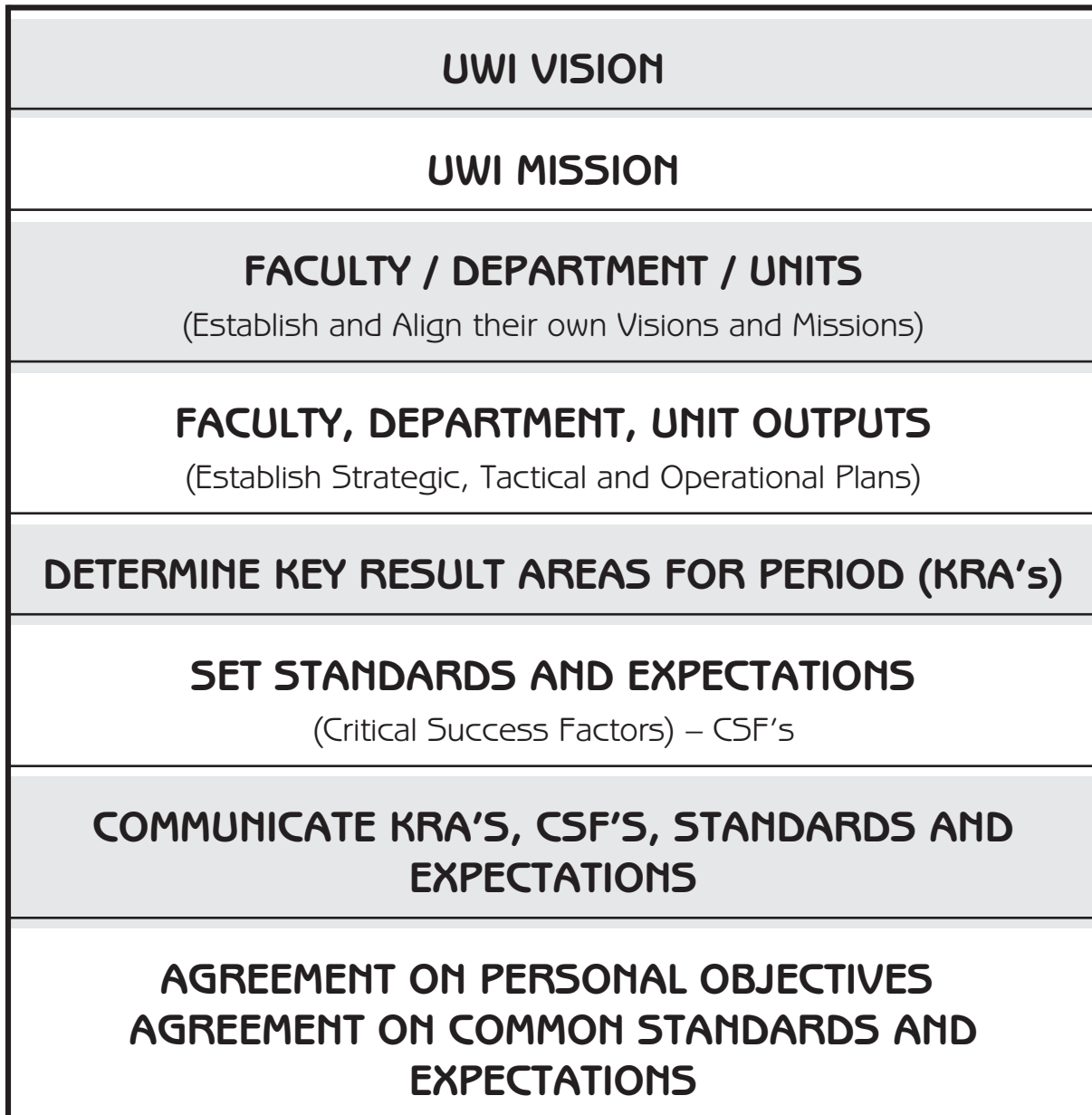
The above diagram indicates the hierarchical alignment of Strategic, Tactical and Operational Objectives, bound together by a set of Organisational Values. These are essential for developing a Culture of Performance and Accountability at the University.

B2 – Relationship of Vision, Mission, Goals, Objectives and Activities



The above diagram illustrates how objectives are in vertical alignment with the Vision and Mission of the University as they “cascade”. There are also lateral relationships which are not shown and the arrows indicate involvement and participation in the objective setting process. It is therefore essential that a common language of Performance Management and Appraisal is spoken and understood at all levels.

B3 – UWIMONA STRATEGIC, TACTICAL AND OPERATIONAL ALIGNMENT OF GOALS AND OBJECTIVES



The above diagram illustrates the relationship between Strategic, Tactical and Operational Objectives at the University.

B4 – Definition of Vision, Mission, Values, Outputs, Activities, Standards, and Expectations

DEFINITIONS

Vision

A Vision is a mental picture of the desired future state of the University. It must be relevant, believable, achievable and inspiring. It is relatively enduring.

Mission

The Mission is the rationale for the University's existence. It has the same attributes as the vision, except that it is more specific and measurable. It encompasses the present and the future.

Values

Values make behaviour in the University Community predictable and consistent. They give cohesiveness to the organisation culture and provide guidelines for decision-making and action.

Outputs/Objectives (Department or Business Unit)

SET A-S-M-A-R-T-E-R OBJECTIVE..!

(Aligned, Specific, Measurable, Achievable, Realistic, Time-based, Exciting, Recorded)

Outputs/Objectives

Outputs are what the Department/Business Unit/Individuals are expected to accomplish. They are the results for which plans are made and resources are provided.

Activities/Personal Objectives

Activities are agreed between Appraiser and Appraisee, in support of Departmental or Business Unit Outputs/Objectives.

When activities are agreed by Supervisor and Subordinate(s), they become Personal Objectives. Formal Personal Objective setting stops at the Supervisory level or equivalent.

All employees who do not have to set Formal Personal Objectives will be assessed as to how well they achieve departmental standards and expectations. This applies to some employees represented by MONATS but mostly applies to employees represented by UAWU because of the short-cycle and repetitive nature of their jobs.

B5 – Writing up the UNIMONA Individual (Personal) Objectives Worksheet

Again, What are Objectives?

Objectives are clearly defined statements of activities which yield expected end results within a specified period of time.

How are Objectives Set? (Set **A-S-M-A-R-T-E-R** Objective...!)

Aligned, **S**pecific, **M**easurable, **A**chievable, **R**ealistic, **T**ime-based, **E**xciting, **R**ecorded.

For each objective, describe the end result and indicate quantity, quality, time-frame, percentages or other specific measures.

Each objective should fit into and support the overall strategy of the Business Unit.

Use “**Verb/Object**” in writing objectives i.e. Do... what?

Here are some examples. Remember to include Performance Indicators/Standards and Expectations. (See pages 14-18)

- Increase Return on Investment.... (by __ during/by __)
- Reduce Overtime.....(from __ to __ by __)
- Increase Student Intake.....(from __ to __ by __)
- Develop two new Masters Programmes... (in __ by __)
- Increase Equipment availability...(from __ to __ by __)
- Improve Customer Service rating...(from __ to __)
- Purchase and install (how many?) Security camera’s....(at __ by __)

When are they set?

Objectives are set at the beginning of the Appraisal Cycle. In the case of MONATS, this is by **June 1**, each year. In the case of UAWU, this is by **April 1**, each year.

By whom?

For best results, Objectives should be set through mutual agreement between employee and supervisor.

How many?

Usually no more than 10. However, each HOD may require a minimum number of objectives, or may establish common objectives which are to be included on every employee’s worksheet.

May they be revised?

Objectives may be carried forward from the previous year, revised, or new objectives added during the review period as necessary, but these changes should be communicated in a timely manner so that there are no surprises.

Who should have an Individual (Personal) Objectives Worksheet?

Each HOD will determine the group, i.e., all employees who have Management, Leadership, Supervisory, Administrative, Professional, Technical responsibilities and to whom resources are entrusted to deliver outputs.

What about those persons who only do routine work?

Persons who only do routine work are not required to set Individual objectives. However, they will be required to comply with stated performance standards and expectations or they may share common broad based objectives such as to obey all safety rules.

B6 – Writing Performance Standards and Expectations

Performance Standards/Expectations

Performance Standards are overt and specific expectations attached to or associated with objectives. A Performance Standard is the definition of acceptable performance. You can never know if work has been done “right” if you do not know what “right” means.

For example, if you are a receptionist you are expected to answer the telephone promptly. That is an “Expectation.”

O.K. So you answer the phone promptly, or so you believe.

However, “promptly” might mean different things to different people.

What standard will we use to define promptly? Some organisations may say after five **(5)** rings others may say after three **(3)** rings and yet others may say between three to five **(3-5)** rings. You might say, promptly means immediately after you finish doing whatever you are doing!

The correct standard to use is the one that was explicitly given to you as the University Standard, or your Professional Standard, which is expected by your Supervisor. Do you know if such a standard exists? If so what is it? Does this standard vary from department to department? It should not, because it is the University standard or the Standard set by your profession.

Performance Standards and Expectations specify the degree of compliance required.

Communication and Clarification of Performance Standards and Expectations is an indispensable requirement of any effective Performance Appraisal Management System (PAMS).

Two definitions of “Standard” are given below.

1. The set of parameters (criteria) used to determine what is acceptable.
2. A guideline to an acceptable performance level.

Action or activity... Jump over the bar... how high? Five feet. That is the standard. Without hitting the bar or breaking a leg. That is the expectation (or conditions).

B7 – Performance Indicators

Performance Indicators (A-S-M-A-R-T-E-R).

Performance Indicators, when written well, allows us to recognise or verify when objectives have been successfully accomplished. They describe in measurable detail the performance levels required by objectives. They make the standards and expectations even more explicit. Performance Indicators are therefore, sometimes called Means of Verification, **(MOV's)**. They help to provide the evidence to determine the degree of accomplishment of an Objective.

Some Examples of Performance Indicators or Means of Verification (MOV's)

Performance Indicators must describe change or movement in quantitative or qualitative terms.

- Improve
- Increased
- Enhanced
- Greater
- Stronger
- Higher
- Reduced

Performance Indicators must allow measurement and/or comparison by degree or degrees of variation.

- Percent (%) of
- Number of
- Presence of
- Quality of
- Frequency of
- Degree of
- Level of

Performance indicators or **Means of Verification** are what Peter Drucker alludes to when he says "You cannot manage what you cannot measure."

B8 – Examples of Objectives with clear Standards and Expectations

VAGUE vs. SPECIFIC

✘ Objectives written without standards, vague expectations and no measurable indicators (Qualitative)	✔ Well-Stated Objectives with clear expectations standards, and/or measurable indicators (Quantitative)
Our objective is to be a leader in the industry in terms of new product development.	Become a leader in new product development by <u>spending</u> 12% of sales revenue between 2006 and 2007 on research and development to introduce five new products by 2010 .
Our objective is to maximize profits.	Maximise profit by <u>achieving</u> a 10% return on investment during 2007 , with a payback period of at least 4 years.
Our objective is to better serve our customers.	Increase customer satisfaction ratings at the Mona Visitors' Lodge from 65% to at least 90% on the 2006 customer service survey, and <u>retain</u> at least 85% of our 2006 customers as repeat customers in 2007 .
Our objective is to be the best we can be.	Our objective is to be among the highest ranked Universities in the developing world; breaking into Newsweek's listing of the top 200 Universities in the World, by 2010 .

B9 – Rating Performance against Preset Objectives, Standards, and Expectations

Depending on how well **Actual Performance** meets or exceeds Objectives which have been set with clear **Performance Standards and Expectations**, the Appraiser will be able to apply one of the following ratings: 5,4,2,3,1

5 – FULLY ACHIEVED

4 – SUBSTANTIALLY ACHIEVED

3 – PARTIALLY ACHIEVED

2 – MINIMALLY ACHIEVED

1 – NOT ACHIEVED

Ask yourself these questions:

- What do I **expect** an employee or a group of employees doing this job to do in terms of, safety, speed, accuracy, neatness, interaction, communication, customer satisfaction, timeliness and so on?
- How do I know when an employee is not meeting **standards** and **expectations**?
- **For each standard developed**, consider at what point you would talk to the employee about improving his or her performance. **(Coaching and/or Counseling before Discipline)**

Create a visual image of the employee doing the job the way you expect it to be done. Observe and compare the actual performance against your expectation.

Determine if there are gaps and what should be done to reduce or eliminate them. If standards and/or expectations are being met, or exceeded, you must express your satisfaction.

As noted before, Performance Standards and Expectations are typically expressed in terms of the following:

- **Quantity**
 - ❖ How much
 - ❖ How many
 - ❖ How often
 - ❖ How soon

- **Quality**
 - ❖ Degree of precision and/or accuracy
 - ❖ Physical appearance of the product or service
 - ❖ Desired results
 - ❖ Degree of customer satisfaction

- **Manner**
 - ❖ Specific method or procedure to follow
 - ❖ Personal requirements
 - ❖ Impact on the customer
 - ❖ Impact on the team
 - ❖ Impact on the organisation (Students, Faculty, University)

Has the standard been clearly communicated by the supervisor to the employee? Have you checked for understanding?

Agreement with the standard is not absolutely necessary but obviously, it helps if there is agreement.

B10 – CONCLUSION

12 Steps for writing good Performance Objectives

1. Spend some time initially thinking about the organisation and the unit. What are the problems it faces? What processes are in need of improvement? What practices need review? What are the developmental needs and requirements of the people?
2. Think about what the person for whom the objectives are being prepared is to do. Here, you might be thinking about someone else or you might be thinking about yourself.
3. Draft a verb-object or action component.
4. Think about why that action is wanted. What results does it produce? What outcomes will it have? What effects will be created? Why are those important? What is their value?
5. Modify the verb-object component, if necessary, to emphasise results instead of activity.
6. Think about ways of measuring the work you have begun to specify.
7. Draft some measurable standards the work must satisfy. How could you tell whether or not the work or results occurred? What is the measure of those results? Quality? Quantity? Speed? Money? Frequency? Ratios of some kind?
8. Modify the action component further, if necessary.

9. Think about the time frames in which the work is to be accomplished.
10. Specify some deadlines, time frames, due dates, etc.
11. Ask the person who is to be accountable for meeting it what he (or she) thinks it means. Or, if you are writing them for yourself, ask your boss to tell you what she (or he) thinks it means.
12. Rewrite it again, if necessary.

B11 – SUMMARY

- ◇ Writing good work objectives is not easy.
- ◇ Reconcile yourself to writing, reviewing, rewriting, and then rewriting again.
- ◇ The form of good work objectives has two components: a verb-object, indicating what is to be done, and a standards component, indicating how well.
- ◇ A conditions component might be included but is optional.
- ◇ Work objectives may be broad or narrow in scope, short and sweet or quite lengthy, address financial or operational matters, and pertain to routine, repetitive work or to special, situational (work).
- ◇ Work objectives may be solicited from the person who will be responsible for their achievement, specified by that person's supervisor, or developed jointly by the two of them.
- ◇ The mix of routine and non-routine work should play a key role in determining the respective roles of the employee and the supervisor in determining the substance of the work objectives.
- ◇ Keep in mind that writing good work objectives involves two stages: derivation **(content)** and specification **(form)**.
- ◇ In all cases, work objectives should be clear, measurable, time-tied statements of the work to be accomplished and the results expected from that work.

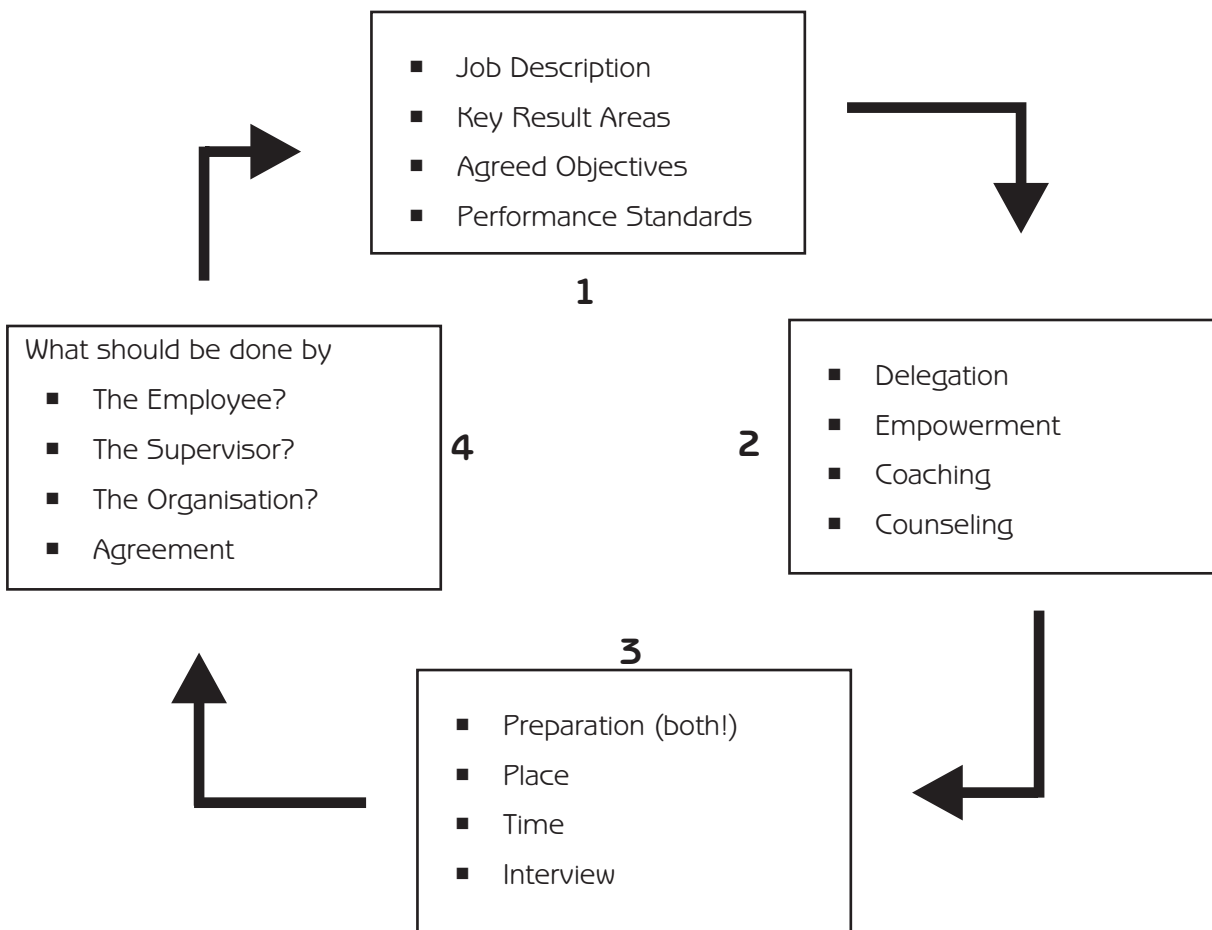
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2. Mager, R. F. (1961). *Preparing Instructional Objectives*. Fearon: Belmont.
3. Odiorne, G. S. (1965). *Management by Objectives: A System of Management Leadership*. Pitman: New York.

PART C – DOING THE APPRAISALS

(CARRYING OUT EFFECTIVE, EFFICIENT AND "AFFECTIVE" PERFORMANCE APPRAISALS FOR THE ADMINISTRATIVE, TECHNICAL AND SERVICE STAFF)

C-1 THE PERFORMANCE APPRAISAL PROCESS AND CYCLE



While the required activities are the same for the ATS Group at UWIMONA, the Cycles are different. For UAWU staff, the Cycle begins on **April 1**, each year. For MONATS staff, the Cycle begins on **June 1**, each year.

C2. Guidelines for doing the Performance Appraisal

GUIDELINE 1.0 – *Initiating and executing the Performance Appraisal Process.*

HRMD will send out a general notice at the end of January, reminding all Departments, of the appraisal Cycles and the need to ensure the integrity of **Step 1** (establishing the bases), **for each ensuing Cycle. (See Step 1 on page 20).**

Step 2.0 consists of informal feedback aimed at improving performance **during the Appraisal Period. (See Step 2 on page 20).**

This notice should also remind Appraisers to begin their preparation for appraising their employees at the end of the respective cycles, as at **Step 3. (page 20).**

Step 4 (page 20) consists of a Performance Enhancement and Personal Development Plan emanating from Step 3 and feeding into Step 1 for the next cycle. **(See Section “D” of the Performance Appraisal Instrument)**

GUIDELINE 2.0 – Establishing the integrity of Step 1.

Establishing the integrity of Step 1 (establishing the bases) consists of one or other of two main activities i.e. utilising blank Non-Routine Activities (NRA at page 22) or blank Routine Activities (RA) forms (tick as required) at **page 24.**

The form on page 22 (**Page 1, Section B-NRA of the Unified PA Instrument**) is for those employees who are required to have written objectives, standards and expectations and serves as the basis for clarifying the objectives, standards and expectations. It also serves as a record on the employees file against which Performance will be appraised at the end of the respective cycle. See **page 23. NB: NRA-“Non-Routine Activities”**

The form on page 24, **Page 1 (Section B-RA of the Unified PA Instrument)** is for those employees who are not required to have written objectives but for whom standards and expectations have to be communicated and clarified. It also serves as a record on the employees file against which Performance will be appraised at the end of the respective cycle. See **page 25. NB: RA-“Routine Activities”.**



Embedded in Page 1 of Unified PA Instrument under Section - B.

**PERFORMANCE OBJECTIVES/STANDARDS & EXPECTATIONS FORM
TO BE COMPLETED AND DISCUSSED WITH EACH EMPLOYEE
AT THE BEGINNING OF THE APPRAISAL CYCLE.
(THIS FORM MAY ALSO BE USED FOR INTERIM APPRAISAL)**

EMPLOYEE'S NAME:

JOB TITLE:

SUPERVISOR'S NAME:

MANAGER/HOD/EQUIVALENT:

REVIEW PERIOD:

FACULTY/DEPT/SECTION:

BLANK NON-ROUTINE OBJECTIVES TEMPLATE

SECTION "B": Key Performance Objectives/Standards & Expectations-(Staff member's Operational Plan)

In the space provided, specify objectives and the accompanying performance indicators (measures) for the period under review.

Try to set **A-SMARTER Objective each time**, i.e., **A**ligned - **S**pecific, **M**easurable, **A**ttainable, **R**ealistic, **T**imely, **E**xpecting, and **R**ecorded.

Assess actual performance by selecting a rating from the scale **1, 2, 3, 4, 5** where **1** is lowest and **5** is highest.

Routine Activities: Set Standards & Expectations only <input type="checkbox"/> Non-Routine Activities: Set Performance Objectives (with Standards & Expectations) <input checked="" type="checkbox"/>	Actual Performance Achieved	Rating Assessed					RA
		1	2	3	4	5	
1.							
2.							
3.							
4.							
5.							
		TOTAL SCORE (B)					
		AVERAGE SCORE (B)					



Embedded in Page 1 of Unified PA Instrument under Section - B.

**PERFORMANCE OBJECTIVES/STANDARDS & EXPECTATIONS FORM
TO BE COMPLETED AND DISCUSSED WITH EACH EMPLOYEE
AT THE BEGINNING OF THE APPRAISAL CYCLE.
(THIS FORM MAY ALSO BE USED FOR INTERIM APPRAISAL)**

EMPLOYEE'S NAME:

JOB TITLE:

SUPERVISOR'S NAME:

MANAGER/HOD/EQUIVALENT:

REVIEW PERIOD:

FACULTY/DEPT/SECTION:

EXAMPLE OF NON-ROUTINE OBJECTIVES RATED

SECTION "B":							
Key Performance Objectives/Standards & Expectations - (Staff member's Operational Plan)							
In the space provided, specify objectives and the accompanying performance indicators (measures) for the period under review.							
Try to set A-SMARTER Objective each time , i.e., A ligned - S pecific, M easurable, A ttainable, R ealistic, T imely, E xiting, and R ecorded.							
Assess actual performance by selecting a rating from the scale 1, 2, 3, 4, 5 where 1 is lowest and 5 is highest.							
Routine Activities: Set Standards & Expectations only <input type="checkbox"/> Non-Routine Activities: Set Performance Objectives <input checked="" type="checkbox"/> (with Standards & Expectations)	Actual Performance Achieved	Rating Assessed					RA
		5	4	3	2	1	
1. Reduce overtime from 30% to 20% during the second half of 2006	Overtime increased to 35% during target period.					x	1
2. Reduce absenteeism from 10% to 5% during the next 12 months.	Absenteeism reduced from 10 to 8% during target period.				x		2
3. Increase Equipment availability from present 70% to 80% during the second quarter of 2006	Equipment availability increased to 85% during target period.	x					5
4. Establish and display Vision and Mission Statements in Reception Area for each of four Faculties by June 2006.	Vision and Mission statements established and displayed in all Faculties during target period.	x					5
5. Ensure that a copy of The UWIMONA Values is posted in all Reception Areas by June 2006.	Copies of The UWIMONA Values posted in all Reception Areas before June 2006.	x					5
		TOTAL SCORE (B)					18
		AVERAGE SCORE (B)					3.6



Embedded in Page 1 of Unified PA Instrument under Section - B.

**PERFORMANCE OBJECTIVES/STANDARDS & EXPECTATIONS FORM
TO BE COMPLETED AND DISCUSSED WITH EACH EMPLOYEE
AT THE BEGINNING OF THE APPRAISAL CYCLE.
(THIS FORM MAY ALSO BE USED FOR INTERIM APPRAISAL)**

EMPLOYEE'S NAME: **REBECCA SCHLOSS**

JOB TITLE: **OFFICE ATTENDANT**

SUPERVISOR'S NAME: **KAY BRUCE**

MANAGER/HOD/EQUIVALENT: **MABEL HALL**

REVIEW PERIOD: **APRIL 1, 2006**

FACULTY/DEPT/SECTION: **HRM**

EXAMPLE OF NON-ROUTINE OBJECTIVES RATED

SECTION "B":							
Key Performance Objectives/Standards & Expectations - (Staff member's Operational Plan)							
In the space provided, specify objectives and the accompanying performance indicators (measures) for the period under review.							
Try to set A-SMARTER Objective each time , i.e., A ligned - S pecific, M easurable, A ttainable, R ealistic, T imely, E xpecting, and R ecorded.							
Assess actual performance by selecting a rating from the scale 1, 2, 3, 4, 5 where 1 is lowest and 5 is highest.							
Routine Activities: Set Standards & Expectations only <input checked="" type="checkbox"/> Non-Routine Activities: Set Performance Objectives <input type="checkbox"/> (with Standards & Expectations)	Actual Performance Achieved	Rating Assessed					RA
		5	4	3	2	1	
1. Cleans Refrigerator once per week using approved Cleaning agent.	Refrigerator cleaned once per week as required.	x					5
2. Inspects and Cleans restrooms at least twice per day, using approved Cleaning agents and ensures that all paper dispensers are full..	Rest rooms have been cleaned as required however paper dispensers have not been regularly refilled.				x		2
3. Prepares and serves refreshments for meetings, visitors, and as requested.	There are no complaints in this area.	x					5
4. Ensures that all utensils are washed and returned to storage area after use each day.	Utensils are washed but are not returned to storage areas promptly.				x		2
5. Takes inventory of materials and supplies each week and informs supervisor to avoid stock-outs.	Inventory not taken as required resulting in late reordering and stock outs.					x	1
		TOTAL SCORE (B)					15
		AVERAGE SCORE (B)					3.0

GUIDELINE 3.0 - Setting Objectives, Standards and Expectations at the start of each Cycle

Pages 22, 23, 24 and 25 represent samples of sheets which are to be filled out and discussed with employees at the beginning of each cycle. At the end of each cycle their performance will be rated according to their achievement. Consequently, both they as well as their Supervisors should retain copies of these sheets to facilitate interim or annual performance appraisals.

Page 22 is blank and page 23 contains the objectives and the results achieved, culminating in a numerical rating for persons who are required to set objectives.

Page 24 is blank and page 25 contains the objectives and the results achieved, culminating in a numerical rating for persons who are not required to set objectives but for whom standards and expectations are made explicit.

It is recommended that the applicable page be embedded in the first sheet of the Performance Appraisal instrument as Section B. To indicate which group of employees it is being used for, simply click the appropriate box and fill in either **Objectives** or **Standards and Expectations as agreed at the start of the respective cycle.**

Use the rating scale below to rate performance against written objectives, or standards and expectations.

RATING SCALE	DEFINITION
5 – FULLY ACHIEVED	Surpasses targets and standards beyond 75% of the time.
4 – SUBSTANTIALLY ACHIEVED	Surpasses targets and standards at least 50% of the time.
3 – PARTIALLY ACHIEVED	Meets expected targets and standards at least 50% of the time.
2 – MINIMALLY ACHIEVED	Meets expected targets and standards less than 50% of the time.
1 – NOT ACHIEVED	Fails to meet targets and standards.

Divide the total score by the number of line items to get an average score for Section A. At this point Sections A and B would have been completed leaving only sections C, D, E and F.

As a reminder, the unified Performance Appraisal Instruments consists of 6 Sections as follows:

1. **Section A- Employee Information**
2. **Section B- Objectives or Standards and Expectations**
3. **Section C- Job Factors**
4. **Section D- Performance Enhancement and Personal Development Plan**
5. **Section E-“Signing Off”**
6. **Section F- Increment**

GUIDELINE 4.0 – Description and use of sections (A,B,C,D,E,.F) of the Unified PA Instrument

Sections "A" and "B" have been treated above.

Section C. Report on Quality and Performance of Duties (Job Factors)

- a) This requires that the Appraiser establishes a rating for each **Report Area** using a five point numerical scale (Likert Scale).
- b) There are 10 **Report Areas** as follows.
 - i) Time Management/Work Delivery.
 - ii) Quality of Work
 - iii) Job Knowledge/Technical Competence
 - iv) Initiative/Resourcefulness
 - v) Team Skills
 - vi) Communication Skills
 - vii) Customer Service
 - viii) Safety, Health, Environment/Security
 - ix) Regularity in Attendance
 - x) Punctuality
- c) Each **Report Area** is explained as to the meaning to be applied and each **Rating Grade** is explained as to the level of Performance represented. This is to facilitate consistency in understanding and application among different Appraisers.
- d) The rating scale 1-5, means 5 is high and 1 is low.

Section C – (Overall Rating)

At the end of this section appraisers are expected to give a summation or composite of all the ratings* coming from Section B, and Section C and including ratings from Section C1 If applicable (for persons with Leadership/Supervisory Responsibility).

Example I $B + C/2 = X$

Example II $B + C + C1/3 = Y$

*Five composite descriptions are given and the Appraiser is asked to select the one which best matches the Employee's Performance.

Fully Achieved	5
Substantially Achieved	4
Partially Achieved	3
Minimally Achieved	2
Not Achieved	1

Section D: (Performance Enhancement (PIP) and Personal Development)

This section consists of two parts.

Part 1, should focus on discussing with the employee ways and means by which performance can be improved and reciprocal commitment given regarding an effective Performance improvement Plan.

For example:

- ◆ What will the employee do during the next cycle to improve his/her Performance?
- ◆ What will the supervisor do during the next cycle to assist the employee to improve his/her Performance?
- ◆ What will the University do during the next cycle to assist the employee to improve his/her performance?

Part 2, should focus on areas for employee development i.e. recommended training and development activities.

The appraiser may seek answers to such questions as:

- i) In order to improve performance, in what areas should extra effort be made?
- ii) What special aptitude does he/she display?
- iii) What course(s) of training was /were taken during the year?
- iv) Training from which he she would benefit?

This section seeks to document measures which may be used to improve performance of the employee.

Section E: "SIGNING OFF" (Covers remarks by Appraiser, the Head of the Department and the Employee.)

This section confirms whether or not the appraisal was discussed with the Employee. The employee is asked to sign the appraisal indicating that it has been discussed with him/her and not that he/she necessarily agrees with the appraisal.

Section F: (Recommendation for Increment/Seniority Allowance)

This section is to be filled out by the Head of Department indicating whether Increment/Seniority Allowance should be paid and the timing of such payment. The Head of Department is required to sign and date this section.

No increment is payable if the employee has received an adverse performance appraisal. **This adverse appraisal must have been received at least 3 months prior to the due date for payment, which is June 1, each year in the case of MONATS and April 1, in the case of UAWU.**

An adverse appraisal is one where the composite rating of the employee is below 3 on the composite rating scale.

This final section is intended to capture action or initiatives recommended by the Head of Department (HOD). It requires the signature of the HOD and the date the recommendations were made. It is the responsibility of the HRMD to ensure that these recommendations are implemented as expeditiously as possible.

GUIDELINE 5.0 – Generating the Unified PA Instrument for executing the Appraisal (A)

If the Unified Appraisal Instrument is accessible on-line, then the Appraiser may generate as many copies as may be required to appraise all his/her staff. In doing so, the Appraiser will access all the demographics relating to each staff member and insert same electronically. This Instrument is designed for use with either UAWU or MONATS staff.

GUIDELINE 6.0 – Generating the unified PA instrument for executing the Appraisal (B)

If the Unified Appraisal Instrument is not accessible on-line, then the HRM Division will input the demographics for each staff member to be appraised, and send out the blank Appraisal Forms to the respective HOD for distribution, with a reminder of the deadline for them to be executed and returned to HRMD. This activity assumes that the integrity of Step 1 (Establishing the Bases) was done for all staff at the beginning of the previous Cycle. **(See Guideline 2 on page 21).**

GUIDELINE 7.0 – Preparing for the PA Interview (The Appraiser)

On printing or receipt of the PA Instrument the Appraiser will review performance against the pre-issued **Page 1 (Section B-MRA)** or the pre-issued **Page 1 (Section B-RA)** as necessary and proceed to evaluate, in pencil, the employee's performance against the objectives, standards and expectations which are documented on the respective forms. The Appraiser must only focus on performance applicable to the current period under review.

When penciled draft is complete it should be discussed with the next level of management above the Appraiser for information and agreement. Any disagreements or discrepancies should be resolved before draft is presented to the Appraisee for scrutiny and review.

GUIDELINE 8.0 – Preparing for the PA Interview(The Appraisee)

The Appraiser should present the Appraisee with a copy of the penciled evaluation **at least 3-5 working days before the intended date of the Appraisal**. The intended date and time should be clearly communicated to the Appraisee. The Appraisee should examine the Appraisal, recognising that it is a draft intended to prepare the Appraisee for discussion during the Appraisal Interview. The Appraisee should make written or mental notes of clarifications needed (if any) or questions to be asked. If for any reason either party cannot keep the appraisal appointment the party in default is responsible for informing the other party in advance and a new date set.

GUIDELINE 9.0 – Carrying out the PA Interview (Appraiser and Appraisee)

Both parties having been prepared, under normal circumstances, there should be no surprises. Nonetheless, there is generally a need for some clarification on either side and the opportunity should be taken to have honest and open communication in good faith. The opportunity to build trust and improve relationships is one that should be grasped with open arms by both parties.

If the Appraisee can convince the Appraiser that certain factors have been ignored or not taken sufficiently into consideration, then the Appraiser should concede the point and make the necessary adjustments. Indeed, that is why the draft is written in pencil. The Appraiser, however, should not yield to pressure or feel coerced to make any changes.

GUIDELINE 10.0 – Concluding the Appraisal Interview

Both Appraiser and Appraisee should develop a Performance Improvement Plan (PIP) for the next period. Elements of this Performance Improvement Plan may be used to guide the setting of objectives or establishing performance guidelines for the next period.

A common misunderstanding at this point, is that if there are any disagreements, the Appraisee will refuse to sign the Appraisal. This is really quite unnecessary, as signing the appraisal simply means that the Appraisal did in fact take place. If this happens, the Appraiser should state the reason for signing and explain to the Appraisee that there is an Appeals Process in place for resolving any perception of unfair treatment.

GUIDELINE 11.0 – Role of HOD/Manager/HRM in Following up the Completed Appraisal

The completed appraisal should be forwarded to the next level above the Appraiser, for information and signature. Thereafter the Department or Business Unit/Section keeps a copy and the original is sent to the Performance Management section of HRMD.

It is the responsibility of HRMD working in conjunction with the Department or Business Unit/Section to ensure that recommended action is followed up and implemented.

If HRMD senses by virtue of what is stated on the appraisal that there is a serious relationship problem between the Appraisee and the Appraiser, it is the responsibility of HRMD to make a timely intervention aimed at resolving the matter.

If the Appraisee has indicated his/her intention to engage the Appeals Process, it is the responsibility of HRMD to facilitate the filing of the appeal and to ensure that the process is engaged within the stated time limits.

GUIDELINE 12 – Engaging and Executing the Appeals Process

If the Appraisee is in partial or total disagreement with any aspect of the completed Appraisal, and after discussions with the Appraiser, this still remains unresolved then the Appraisee has the right to engage the Appeals Process. This should be put in writing to the HRM Division and copied to the Appraiser **within 5 working days**.

(Please see page 34 for Performance Appraisal Flow Chart and Appeals Process.)

On receipt of the notification to appeal, the Appraiser will forward the disputed Appraisal in confidence to the HRM Division which will acknowledge receipt and establish a Review Panel. This Panel is to be established and hold its first hearing **within 10 working days** after filing of appeal.

This panel will consist of five persons as follows:

1. Member of HRM Division
2. Neutral third party
3. Employee Representative
4. The Appraiser
5. The Head of Department

(The attendance of the Appellant at the hearing is optional)

The Review panel will make its ruling within **three working days after conclusion of the hearing** and a disposition made in writing and communicated to the Appellant and all other members of the Review Panel.

If the Appellant agrees with the ruling of the Review Panel, the matter is sent to HRM for filing and implementation of ruling. If the Appellant is not in agreement with the ruling of the Review Panel, the Appellant may opt to file a Grievance.

Conclusion

Monitoring and evaluation of departmental and employee performance through, formal and informal feedback allows for midcourse correction if performance or results are trending off target.

Monitoring how well HRMD is facilitating the Performance Management System itself, is a shared responsibility among the HRMD, Line management and the respective Stakeholders, including the relevant Unions.

Performance Appraisal Training for Users on a refresher basis will become necessary from time to time. The HRMD should generate Reports which highlight the appraisal backlog existing in each responsibility area and remind departments to clear these by a stated time.

It can be expected that overtime, it will become necessary to fine tune the process or make radical adjustments as the situation demands. In the meanwhile this Manual should prove helpful in understanding the policies and procedures which are in place to ensure that the objectives of UWIMONA'S Performance Management System are met.

It is hoped also, that a higher level of trust will be developed between all stakeholders and that the fear and misgivings usually associated with Performance Appraisals will disappear.

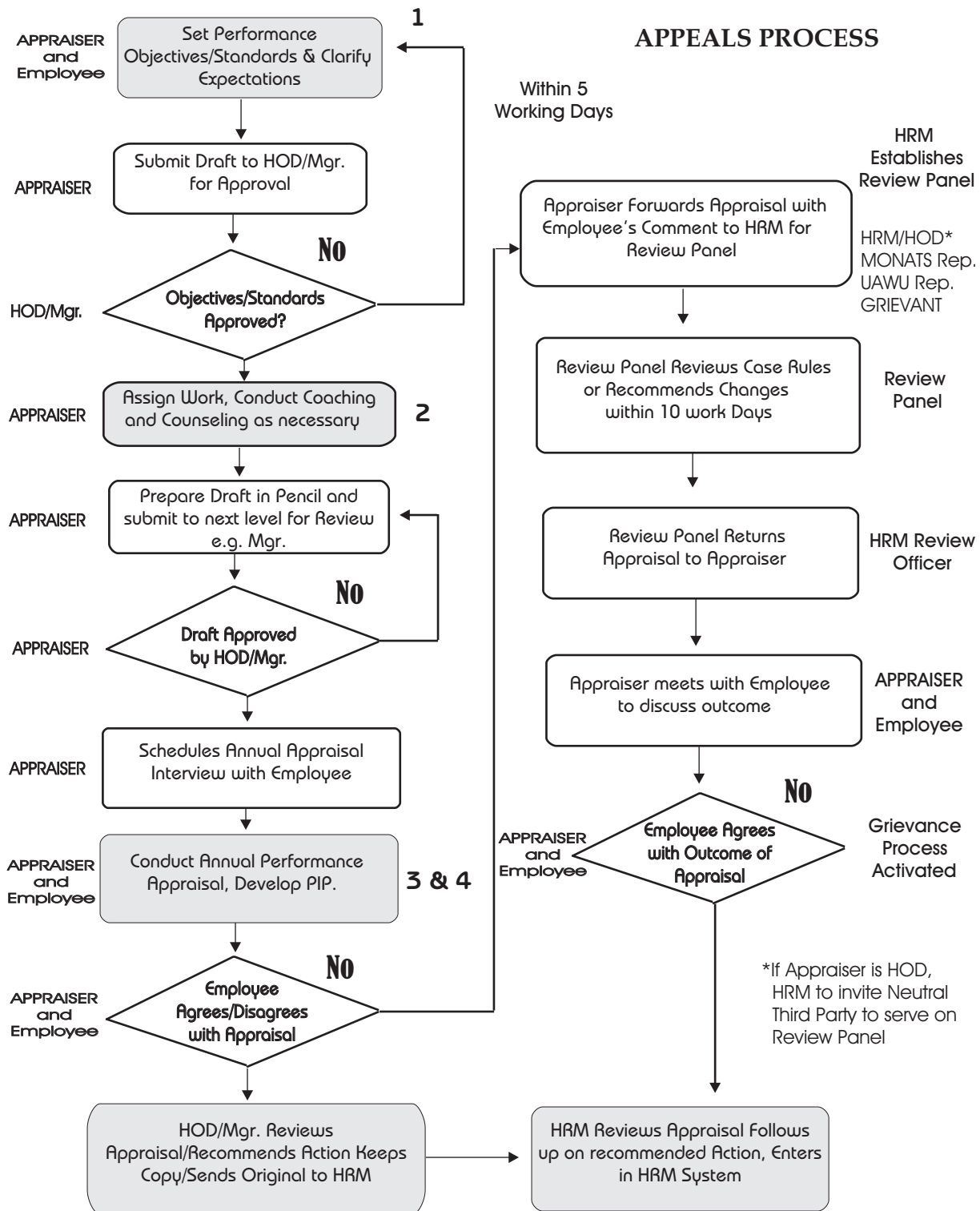
Ultimately, the University will be the beneficiary of higher levels of effectiveness and efficiency as it seeks to reposition itself to face the challenges and opportunities provided by Globalisation and to a lesser extent, but no less important, the Caribbean Single Market and Economy (CSME).

Attached to this Manual are:

1. **APPENDIX A Quick Guide**
2. **APPENDIX B Common Errors to Avoid**



UWIMONA PERFORMANCE APPRAISAL PROCESS FLOWCHART



QUICK GUIDE

Establishing the Bases (Sections "A" and "B" of Unified Performance Appraisal Form (UPA))

1. At beginning of Cycle HRM sends out (UPA) Form with Section "A" completed (or)
2. Appraiser completes section "A" of Unified PA Form on line and prints own copy.
3. Appraiser discusses and agrees with employee, Objectives for ensuing period and completes section "B" for those employees with "Non Routine Activities" (NRA).
4. Appraiser discusses and agrees with employee, Standards and Expectations for ensuing period and completes section "B" for those employees with "Routine Activities" (RA).
5. In both 3 and 4 above Appraiser keeps copy of completed form and gives copy to employee.
6. In each case the copy kept by Appraiser is to be retained for interim or annual appraisal, where it will be used to compare performance against plan.

Doing The Appraisal (Sections "B" and "C" of UPA Form)

1. At the end of Cycle, Appraiser retrieves forms with preset Objectives (NRA) or Standards and Expectations (RA) and carry out rating of Performance against plan.
2. Scores are tallied based on 5, 4,3,2,1 rating scale and an average rating derived for Section "B".
3. Job Factors are rated for Section "C" and an average score derived.
4. A composite score for Sections B and C are derived as follows: $B + C/2 = X$.
5. In case of employee with Leadership/Management/Supervisory responsibilities, the addendum is used, in which case the composite is derived as follows: $B + C + C/3 = Y$

Composite ratings are used to differentiate employee performance and to determine qualification for payment of increments.

Determine Employee Training and Development Needs (Section "D")

1. Assess employee's willingness and readiness to move into lateral and /or vertical positions.
2. Determine Training and Development needs that would facilitate such moves.

Signing off and dating Appraisal (Section E)

1. Appraiser signs, Appraisee signs and makes comments in space provided.
2. HOD indicates his/her comments on the Appraisal and/or the Employee.
3. Signing by all parties means that the appraisal was done and discussed.

Qualification and/or recommendation for increments and allowances (Section "F")

1. Composite ratings below 3.0 are considered adverse.
2. An employee in receipt of an adverse rating at least 3 months before due date for payment of increment will not be recommended for same.

SOME COMMON ERRORS TO AVOID IN APPRAISING EMPLOYEES

1. The Halo Effect

Letting a positive area prevent you from providing constructive feedback in another area.

2. Recency Effect

Considering only recent performance and not considering the entire review period. Take informal notes about employees (both good and bad things) throughout the year to ensure your evaluation is based on the entire appraisal period - not just what happened last week.

3. Not Knowing Employees – No news is good news

Not knowing employees and not being able to provide credible feedback.

4. Unforgettable Event

A significant mistake or contribution lingers and skews overall judgment of an employee.

5. Leniency

It is difficult for most managers to give employees poor ratings. Avoiding the issues and showing a lack of managerial courage.

6. Similar-to-me

Giving a more favorable rating to someone perceived as being similar to him or herself.

7. Central Tendency

Rating all employees as average. Managers that are unclear about their expectations may rate everyone the same or they may be unable to differentiate between levels of performance.

8. Postponing or Skipping the Appraisal or Allowing for Interruptions

Delays create the wrong impression. Employees begin to perceive that neither they nor the appraisals are important.

9. Poor Preparation

“Seat of the pants” meetings rarely produce effective results. It quickly becomes apparent that the appraiser is not well prepared. The employee may assume the manager does not know what is going on or that she simply doesn’t care enough to prepare.

10. Using the Evaluation as Corrective Action

The appraisal meeting should not be a disciplinary session. Inappropriate behavior must be dealt with when first observed. Discipline and discussion of performance/goals don’t work well together. Corrective action should have been addressed earlier. The evaluation is a time to discuss strengths and weaknesses, perhaps assessing how an employee has done in correcting past behavior. However, it isn’t the place to raise new disciplinary actions.

11. Overemphasizing Good Performance

Praise and positive reinforcement are terrific. However, compliments quickly become meaningless if they aren't specific and substantive. They can also give an employee the false impression that you are completely pleased with everything he does. Be honest and direct.

12. Not Following Through

Most of the time and effort spent in planning for and conducting an effective interview is lost if you don't follow through with the actions/plans discussed in the evaluation. Performance management should be a daily (not annual) activity.

13. Avoiding the Tough Issues

Employee problems rarely correct themselves. Nearly everyone is uncomfortable raising sensitive issues or criticizing others. However, unless the tough issues are addressed they inevitably get worse, the manager loses credibility, and the employee may not ever know there is a problem.

14. Evaluating Attitude

While we all are forced to deal with employees' attitudes (whatever that means!), attitudes are basically impossible to evaluate and even harder to change. Focus on results and objective, observable actions. They're easier to complete and much more readily justified.

15. Accepting Excuses

There may be legitimate reasons why an employee has been unable to complete assigned goals. However, don't immediately accept excuses for poor performance. Often they're simply not valid. If they are appropriate then a solution and action plan should be developed to avoid such problems in the future.

16. Ignoring Employee Feedback

Asking employees for input only to ignore their comments can be very damaging. It makes evaluation meetings much less effective, and communicates to employees that while their ideas may be asked for they're not listened to or acted upon.

17. Surprise Employees

The performance appraisal should not be the time for employees to hear bad news or harsh judgments that have not been previously addressed.

Adapted from

<http://www.umkc.edu/adminfinance/hr/documents/A-TipsCommonErrors..pdf>

University of Missouri-Kansas City (UMKC)

Retrieved on 23 February 2007