This User Manual introduces the functionalities related directly to creating, completing, editing and routing the performance appraisal involved in the completion of the Online Performance Appraisal System for Administrative and Technical Staff.

The University of the West Indies, Mona Campus
Office of the Campus Registrar - Human Resource Management Division
Organizational Development & Employment Services

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INTRODUCTION

Overview
This manual introduces you to the functionalities involved in the completion of the Online Performance Management Manual that relates directly to creating, completing, editing and routing the performance appraisal.

Objectives:
By the End of This Training, you should be able to:

- Describe the Online Performance Appraisal Process
- Complete the Online Performance Process
- Track the Appraisal Document along the process

Some Definitions:

Appraisee The member of staff whose performance is under scrutiny

Appraiser The immediate supervisor of the member of staff under scrutiny

Assessment Period The nine month period under review

Head of Department The designated Head of the Unit/Department.

Save This allows you to create the document as draft return to complete the performance appraisal at a later time.

Submit This allows you to route the completed appraisal to other parties in the appraisal process.

Status This shows whether the appraisal is pending or completed and allows you to keep track of the appraisal.

Navigation A map of the tabs that you will have to click in order to reach the designated screen.
Step 1. Getting Started

The Online performance appraisal process at the University of the West Indies begins with the generation of an appraisal template. In order to generate a template, the supervisor should log onto the PeopleSoft system using his or her domain ID and password. Thereafter, he/she will complete to staff appraisal using the following navigation:

Manager self Service >> Performance Management (Mona) >> Performance Documents >> ATS Appraisal (Supervisor)

Select Performance Management (Mona) and then Performance Documents
The appraiser may generate an appraisal template for a member of staff by any one of the following:

a. **Searching by Employee Number** – In this case the appraiser enters the ID number of the employee whose appraisal he/she will complete.

b. **Searching by Assessment Period** – This will populate all the outstanding cases for a specified period.

c. **Conducting a general searching** - This will populate all the persons who report to the appraiser.
Step 2. Completing the Appraisal

Step 2A. Employee Information

Use this page to Select the **Purpose of the Appraisal** and verify the length of time you have been supervising the Employee.

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<tr>
<td>Employee Information</td>
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**Note:** Having selected the employee for appraisal, job related information *(such as position, department, name of the HoD and name of supervisor)* concerning the employee will be automatically populated.
Step 2. Completing the Appraisal

ACTIVITY

1. Scroll to the ‘Purpose of Appraisal’ Tab
2. Select from the Drop-down
3. Scroll to the ‘Time Supervising Employee’ Tab
4. Insert the length of time this employee has been under your supervision,
**Step 2B: Objectives**

Use this page to **add objectives, assign ratings and remarks** related to the appraisee's performance.

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**Notes:** Once a rating is assigned to an objective, totals and averages are automatically calculated. Please note that at least 1 objective must be added.

**Further Reading on Objective Setting:** Objectives should be set at the start of the review period. Objectives indicate the level of performance of staff is expected to achieve. Such standards ought to be clearly defined in order that staff is cognizant of precisely what the University expects of him. An example: the standard “repair the office furniture within two hours” is more specific than to say “work smarter.” Not only does the use of precise performance standards assist in the direction of his work attitude, but also assist the supervisor or head to communicate more accurately the level of performance expected; the immediate supervisor may not agree with the head of department, or vice-versa on what the terminology ‘work smarter’ means, however, both would agree to the same meaning of “two hours.” Objectives must be **SMART** *(Specific, Measurable; Attainable; Realistic; Timely)*, for example:

- **Specific:** indicates what the staff member will do (achieve attendance and circulate e-mail to all educational lecturers)
- **Measurable:** indicates the minimum attendance rate (at least 100 guests)
- **Attainable:** staff member has the list of all guests to send notification ad conference is held at a time convenient, that is, not conflicting with other conferences
- **Realistic:** networks into other forums regarding Caribbean education sector to be conducted by late 2011.
- **Timely:** conference to be held on May 31, 2012 and all relevant documents to be circulated by December 31, 2011.
(Step 2 Continued)

**Step 2C. Assigning Rating to Job Factors**

Use this page to **assign ratings and remarks** related to the appraisee’s performance in relation to their general attitude and performance to responsibilities and work.

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**Notes:** All job factors should be given a rating. Supervisors may provide remarks which are provided to explain the reasons for the rating given in each job factor. Totals and averages are automatically calculated.

**Further Reading on Assigning Ratings:** The ATS Performance Management Appraisal Policy mandates that heads of department and/or supervisors evaluate ATS staff in keeping with expected standard of merit (p. 4). In an effort to ensure the reliability of the performance appraisal, heads and supervisors should rate their staff in an impartial and unbiased manner. Heads of Department/Appraisers should be mindful of the errors which may impact on the ratings provided (See Page 9 for a Description of each)

**ACTIVITIES:**

1. Rate all Job Factors
2. Review and Change Ratings as desired.
3. Save
Step 2C2. Assigning Rating to Job Factors for Supervisory Staff

Use this page to assign ratings and remarks related to the appraisee’s performance in relation to their supervisory responsibilities.

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**SECTION C1: JOB FACTORS - ADDENDUM FOR MGR/ADMIN/SUPERV**

### NOTE:
Please indicate your choice in the rating column. Ratings 2 and 1 are adverse markings. These should be marked only where the worker has been spoken to and/or written to during the year in connection with matters of work which require improvement.

#### Remarks

**i. Leadership and Supervisory Performance**

- 4. Very Effective
  - (Note) very prompt and intuitive in
  - (More)

**ii. Resource Mgmt and Cost Effectiveness**

- 3. Obtains Adequate Results
  - (Note) made very good use of limited
  - (More) always encourage and involve

**iii. Staff Development**

- 3. Always Supports Training
  - (Note)

**iv. Planning and Organising**

- 4. Effective Planner
  - (Note)

**Total Score** 14  **Average Score** 3.50  **Overall Score** 28  **Overall Average** 9.33  **(More)**

**Note:** Job Factors C1 are only to be completed in respect of an appraisee who has supervisory responsibilities.

**Description of Common Rating Errors:**

**Halo Effect:** This occurs when the head or supervisor’s overall impression of an employee is grounded on a specific characteristic, for instance appearance or intellect. When rating each factor of a staff member’s job, the supervisor may become overly subjective by his overall inkling.

**Recency Effect:** Here ratings are primarily subjective to current actions that are without difficulty committed to memory. Ratings that unjustifiably reflect current actions can result in incorrect representation of the staff member’s job performance throughout the entire rating exercise.

**Leniency:** ratings that are above what the actual job performance permits

**Central Tendency:** This results when the head of department or supervisor deliberately avoid awarding extreme ratings even when such ratings are justified.
**Step 2D. Development**

Use this page to **assign ratings and remarks** related to the appraisee’s performance in relation to their supervisory responsibilities.

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**Notes:** The appraiser must recommend at least one of the options in ‘Area recommended for training’. Where the appraiser selects ‘Other’, he or she must then go on to indicate the recommended training below.
Step 2E. General Comments & Submit to Appraisee

Use this page to provide additional comments which further explain the reasons for ratings and describe any opportunities which the appraisee may need for his or her development.

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<tbody>
<tr>
<td>Comments</td>
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</tr>
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Notes: After commenting, the appraiser is encouraged to save his or her appraisal. He or she should invite the appraisee to a formal interview at which he or she will discuss the appraisal evaluation given. At the interview, the appraiser may make changes to the document based on feedback from the interview with the appraisee. Once the interview is completed, the appraiser should submit his or the appraisals to the appraisee. The appraiser will not be able to make further changes to the document after he/she clicks the submit button and the document is routed to the appraisee. An appraisal will not be routed to the appraisee unless the appraiser indicates that the appraisal was discussed with the appraisee.
**STEP 3: APPRAISEE’S COMMENTS**

The Appraisee will use this page to view comments made by the Appraiser as well as to provide his/her comments on the appraisal.

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<tr>
<td>E-Comments</td>
<td><strong>Self Service ➔ Performance Management (Mona)</strong> ➔ <strong>Performance Documents ➔ ATS Appraisal ➔ E-Comments</strong></td>
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The Appraisee will:

1. Comment on the appraisal.
2. Indicate whether the appraisal was discussed with him/her.
3. Indicate whether he/she is in agreement with the appraisal.
4. Select the ‘Appraisee Submit’ icon.
**STEP 4: HOD’S COMMENTS**

The Head of Department will use this page to **provide additional comments.**

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<tbody>
<tr>
<td>Comments</td>
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</tr>
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![Diagram of ATS Appraisal process]

The Head of Department will:

1. Review the complete appraisal
2. Comment on the appraisal.
3. Make a recommendation in respect of Increments or otherwise
4. Select the ‘HOD Submit’ icon.

*As the appraisal moves through each stage of the process, emails are sent to all parties confirming the movement of the appraisal through the process. Where it remains at a particular stage for too long, reminders are also automatically sent.*
Supervisors and Heads of Department are reminded that the OPAS system does not replace the need for ongoing dialogue and consultation in the appraisal process. Below is the Outline of the Business Process.

**OUTLINE OF BUSINESS PROCESS**

1. Appraiser sets performance objectives and discusses with HOD
2. Appraiser discusses and finalize objectives with Appraisee
3. Appraiser submits agreed objectives to Appraisee
4. Appraisee indicates his/her agreement with objectives
5. Email sent to Appraiser and HOD that Appraisee agrees or disagrees with objectives
6. Appraiser prepares draft appraisal and save.
7. Appraiser discusses draft with employee (mandatory)
8. Appraiser meets with HOD and Appraisee and discusses the appraisal (optional)
9. Appraiser makes amendments to the appraisal instrument, if any, and submits to Appraisee
10. Appraisee makes his/her comments and submits to HOD
11. HOD makes comments and submits to HRMD
12. Email sent to Appraisee and Appraiser that the final appraisal has been submitted to HR
13. For adverse appraisal, employee initiates the Review process
Further Tips for Appraiser/Head of Department in the Performance Appraisal Process

There are four phases involved in an effective performance evaluation process. These are:
- Performance Planning,
- Performance Execution,
- Performance Assessment,
- Performance Review.

Performance Planning (Step 1)

**Before meeting with Supervisor:**
1. Review the UWI’s strategic plan and your dept’s strategic plan.
2. Think about the employee’s job and identify the most important goals to be accomplished in this review period.
3. Think about what you consider to be fully successful Performance in each area.

**During the meeting with the Employee:**
Discuss and agree on the most important skills/abilities for your job. Discuss and agree on the personal development plans. Agree on the performance objectives for the period in review.

Performance Execution

One fundamental responsibility: **Provide feedback!**
Few advice:
1. Provide performance feedback and coaching to your employee
2. Communicate openly with the employee on progress and problems in achieving objectives

Performance Assessment

This phase involves evaluating the job the employee has done.
Key Responsibilities:
1. Review the performance over the year
2. Collect and collate any documents relevant to the appraisal
3. Consider any revisions needed to key responsibilities, competencies, objectives and development plan for the new performance review period

Performance Review

This phase involves discussing the appraisal document with the appraisee:
Key Responsibilities:
1. Discuss the achievements and disappointments over the period.
2. Compare your assessment of the performance against the employee’s self-evaluation.
3. Provide clarification for any assessments or examples that are unclear to the employee.
4. Provide feedback on how to enable further developmental opportunities for the employee.
5. Listen and respond appropriately to the appraisee’s comments or concerns.
### HOD's/SUPERVISOR'S CHECKLIST FOR PERFORMANCE MANAGEMENT APPRAISAL

#### The Schedule

1. Schedule the appraisal review and notify the staff to be appraised in advance.

2. Request that the staff prepare for the session by conducting a performance appraisal assessment of his performance objectives and development objectives.

3. Clearly communicate that the purpose for the appraisal exercise; whether it will be the formal annual performance appraisal, an interim review etc.,

#### Preparation for the Appraisal Review

1. Review performance documents collected throughout the appraisal year. Make notation of new developments relating to job functions.

2. Be willing to make specific references to examples of above- or below- ratings of job factors.

3. Head and appraiser should ensure that whenever job performance/functions falls short of expectations, changes that need to be made are determined and decided on. If job performance meets or exceeds standard expectations, discuss this and propose its reinforcement.

4. After the appraisal has been drafted, set it aside for a few days and afterwards review it again.

5. Follow all the steps required by the PMP&PM regarding the appraisal process.

#### Conducting the Performance Appraisal Review

1. Select a location that is free of distractions in an effort to encourage a candid/frank conversation.

2. Discuss each item as outlined on the appraisal form in the order it appears, taking into consideration both strengths and weaknesses.

3. Be precise and descriptive; do not generalise or become judgmental.

4. Discuss your dissimilarities in an effort to resolve these. Solicit consensus regarding the evaluation. This is however, not necessary. It is OK if an appraisee disagrees with the appraisal.

5. Together discuss and implement strategies for taking corrective action for development.

6. Uphold a professional and reassuring approach as it relates to the appraisal discussion.

“[Never focus] on people's weaknesses rather than on their strengths. The man who always knows what people cannot do, but never sees what they can do, will undermine the spirit of the organisation. Of course, a manager should have a clear grasp of the limitations of his people, but he should see these as limitations on what they can do, and as a challenge to them to do better.” Peter Drucker.