Performance Evaluation Part 1: Defining Criteria

~UC Santa Cruz SHR~

“The purpose of Staff Human Resources (SHR) is to build a strong and healthy University.”
ePerformance Training Series

2 Part Series

• Part 1: Defining Criteria (Today’s training)
  – Defining Job Functions
  – Defining Goals for the current performance cycle
  – Discussing Common Standards (Principles of Community/Diversity)

• Part 2: Completing the Appraisal (Offered in Spring)
  – Understanding Performance Ratings
  – Writing the Appraisal
Additional Training Resources

Additional ePerformance Tool Training:
● UCSC ePerformance Training for Managers and Supervisors (Full Tool Training)
● UCSC ePerformance Training for Employees

Step by Step Tool Instructions:
● ePerformance Tool Instructions - Annual Evaluation
● ePerformance Navigation Guide

Content Guidance:
● Defining Criteria and Manager Evaluation

SHR ePerformance Resources page:
https://shr.ucsc.edu/resources-forms/eperformance-performance-evaluations/index.html
Participant Agreements

- Confidentiality
- Principles of Community
- Active Participation to the extent you are comfortable
- Eliminate/mitigate electronic interruptions
Workflow and Overview
Annual Performance Evaluations - Workflow

ELR ePerformance Administrator Creates Annual Performance Document in Fall

Define Criteria

Participants are Nominated

Employee Completes Self Evaluation

Supervisor Reviews Self Evaluation and Participant Evaluations

Supervisor Completes Evaluation

Supervisor Shares Evaluation with Employee

Employee Acknowledges Evaluation

Supervisor Submits Evaluation for Approval

Approver Approves Evaluation
For more information and to sign up for the UC Performance Management Overview eCourse series, go [here](#) or search in the UC Learning Center.
Define Criteria

Defined and entered when the evaluation is created, toward the start of the performance cycle:

- **Functions** tab
  - Job Duties Summary

- **Goals** tab
  - Goals for the **current** performance cycle

- **Common Standards** tab
  - Diversity and Principles of Community
  - Cannot be edited or deleted
  - Additional criteria cannot be added to this tab
Best Practices:

● Begin documenting criteria at the beginning of the evaluation period (Fall)
● Discuss what performance looks like at each of the ratings
  ○ **Performance Rating System and Definitions**
    ■ Eg. Met Expectations vs. Consistently Exceeds vs Exceptional
    ■ Eg. If need for improvement has previously been addressed - Explain what will Meet Expectations for improvement
● Discuss Essential Goals vs. Stretch Goals
● Have an ongoing dialogue throughout the evaluation period; Make adjustments as appropriate; Communicate changes
● Approve criteria near end of evaluation period (late Spring)
Rating Scale 1-5:

Exceptional - 5

- Performance far exceeded expectations in all key areas of responsibility with exceptionally high quality of work and exceptional or unique contributions to organizational objectives

Consistently Exceeds - 4

- Performance consistently exceeded expectations in key areas of responsibility, and the quality of work was generally excellent

Met Expectations - 3

- Performance consistently met expectations in key areas of responsibility; at times may exceed expectations. The overall quality of work was good

Improvement Needed - 2

- Performance did not consistently meet job requirements

Unacceptable - 1

- Performance egregiously failed to meet expectations
Defining Criteria: Job Functions
Tools to Help Identify and Define Criteria

It may be helpful to collect and review the following to guide the job functions and goals you will set for the current appraisal period:

- Current job description
  - Meaningful Discussion of Areas of focus for the current year
  - Summary of Main Responsibilities
- Previous year’s performance appraisal
- Supervisor Notes
  - Career Development and Engagement Discussions
- Any counselings or formal discipline that occurred during the appraisal period.
Job Functions Tab

Functions should reflect responsibilities as they are related to the job description. For example:

- General Areas of Responsibility
- Workgroup Participation
- Regularly Assigned Projects
- Special Assignments
Helpful Tips when Defining Criteria

Job functions should:

- Be clear and to the point
- Be specific and relevant to the employee/role
- Be defined with mutual understanding of the performance expectations
- Be reviewed with employee regularly throughout the evaluation period, and before being finalized
- Discuss what performance looks like at each of the ratings
  - What does it look like to meet expectations of good performance?
  - What does it look like to consistently exceed the supervisors' expectations?
Example of Defining a Criteria:

**Administrative Officer 4 - Financial**

Add Your Own Item

- Administer: Staffing Lists
  - Revise Procedures in accordance with position control processes
Exercise

Please draft a job function around a job description you are familiar with, or the job description previously provided.
TIP: Don’t get logged out!

• UCPath will log you out after ~20 minutes of inactivity
  – If any browser tab open to UCPath is left untouched for ~20 minutes, it will log you out of all tabs (even if you are actively working in another UCPath tab!)

• The Performance Workcenter automatically opens you into a new tab on your browser, creating the perfect scenario for you to be logged out while you are working

• We recommend closing the first UCPath tab, containing your Dashboard, to avoid an unwanted logout

• Don’t forget to save your work frequently!
Defining Criteria: Goals
Goals Section - ePerformance

Goals are used to identify development that sustains, improves and builds performance, and enables the employee to contribute to strategic organizational objectives and foster employee growth.

With ePerformance, managers can now enter an employee’s goals in the beginning of the performance period. As was mentioned earlier, we encourage managers to keep the define criteria step open in case a goal needs to be edited or deleted throughout the course of the year. An employee may also enter their own goals for review by their supervisor up until the point when the manager finally closes the define criteria step around May.
Benefits and Outcomes of Goal Setting

- Increases Engagement and Satisfaction
- Improves Service
- Motivates employees
- Focuses energy toward positive outcomes
Three Types of Goals

★★ ESSENTIAL
- Job Description
- Cascading

★★ DEVELOPMENTAL
- Skill based
- Addressing performance issues

★★ STRETCH
- Promotional
- Motivational
Cascading Goals

Campus
Divisional
Departmental
Team
Individual
Essential Goals

• Long-term activities in alignment with the established duties in order to meet standard expectations of position.

• E.g. Complete customer service /software/etc. training to perform essential job duties and meet 24 hour response time.
• E.g. Provide 1 training/quarter to support campus supervisors in performance management.
Developmental Goals

- Activities tied to improve expertise, skills and abilities for career advancement
- Professional Development or Addressing a Performance Issue

- E.g. Improve public speaking skills by hosting a workshop 1x/quarter
- E.g. Attend Active Listening course and practice skills in weekly meetings.
Stretch Goals

• Activities above essential functions used to define and motivate performance which is radically Exceptional or Consistently Exceeds.

• E.g. increase customer satisfaction (from previous years baseline)
• E.g. Meet monthly with customers (as opposed to quarterly)

• If a stretch goal is not completely achieved, an employee should not be penalized; credit should be given for the attempt and/or partial completion of the stretch goal.
Establish **SMART** Goals

- **S**pecific
- **M**easurable
- **A**ttainable
- **R**elevant
- **T**ime Based
SMART Goal Template

My goal is to ________________________________________________________________(S)
Which will be measured by ________________________________________________________(M)
I will attain/achieve this by ________________________________________________________(A)
which I know is relevant because _____________________________________________________(R)
This aligns with our campus/division/dept objective of _________________________________(R)
and it will be completed by _________________________________________________________(T)
with milestones set at _____________________________________________________________(T)
SMART Goal Template

My goal is to **schedule team building exercises to increase employee morale** (S)

Which will be measured **through end of year employee satisfaction surveys** (M)

I will attain/achieve this by **prioritizing time with my team when we can all be available** (A)

which I know is relevant **because increasing morale will reduce turnover and increase productivity** (R)

and it will be completed by **end of the academic year** (T)
SMART Goal Example

**Goal:**

Develop training to address successful transition from student to staff professional roles. Drawing upon personal experience and in consultation with other identified subject matter resources, develop content and pilot training for millennial staff. Prepare training and pilot an offering by Spring 2020.

**Rewritten with SMART method:**

In alignment with the department’s mission to empower students’ career progress, develop and deliver 2 trainings to address successful transition from student to staff professional roles. Develop content and pilot training for millennial staff by Spring 2020.
GOAL WRITING EXERCISES
SAMPLE Goal - what can be improved?

GOAL: Budget and Resource Management

- Develop spending plan
- Track expenditures to ensure we stay on budget
- Submit purchase requests in a timely manner
- Adhere to all accounting and federal guidelines
- Submit reimbursements, statements, reports, and financial documents on a monthly deadline

SMART - Specific, Measurable, Attainable, Relevant, Time-based
How you could improve the previous goal

• **S**: Define the spending plan
• **M**: Maintain a 95% submission rate within purchase request timeline
• **A**: Manager should review whether if request response timeline is reasonable
• **R**: Explain how goal is relevant to unit operations.
• **T**: Define “Timely,” Specify the Monthly deadline

SMART - Specific, Measurable, Attainable, Relevant, Time-based
Exercise:

Click the link provided in the chat and write a SMART Goal based on the job description provided earlier

Administrative Officer 4
Questions for You to Consider in Developing Goals:

1. How do you currently approach goal-setting (individual, team, unit) and how do you monitor progress? (How many goals, 3, 5, 15?)

2. In what ways can you imagine SMART goals facilitating increased accountability (individual and team)?

3. What personal action or commitment are you willing to make to support accountability and collaboration?

4. What professional skill/competency would you like your staff to build this year?
Pulling it All Together

“An organization in which all employees understand and act upon their roles and potential to adhere to the business strategy, in which everyone is traveling in the same direction, is unstoppable.”

An Oracle White Paper, June 2012

“A goal without a plan is just a wish.”

The Little Prince, Antoine de Saint-Exupery, French Writer (1900-1944)
Approving Criteria

• Criteria may be approved at any point during the evaluation period, including just before the manager evaluation is completed at the end of the year.

• You may wait to approve the criteria until toward the end of the performance cycle, when you are ready for your employee to start their self evaluation, or when you are ready to nominate participants to the employee’s performance evaluation.

• By not approving the criteria now, you grant yourself the ability to add, remove and update criteria as needed throughout the year.

• You should click the **Save** button in the upper right corner regularly to make sure you don’t lose your work.

• Just as you are getting ready to collect information for the manager evaluation (Participant Nominations, Employee Self Evaluation), Finalize and Approve Criteria.
What you can do as a supervisor:

1. How will you ensure ongoing dialogue with your employee to support success in their performance and goals?
2. What professional skill/competency would you like to build this year for yourself? For your staff?
3. What one action (small/large) will you take to bring more joy into your day? Into your staff’s day?
Final Questions?

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**SHR Vision**

“Our vision is to excel as leaders in people management, partnership and strategy -- everyone, every day, everywhere.”