



**UMBC**

AN HONORS UNIVERSITY IN MARYLAND

**UNDERSTANDING PERFORMANCE MANAGEMENT:  
A GUIDE FOR NON-SUPERVISORY STAFF**

**PMP TRAINING**

**2007**

**UNIVERSITY OF MARYLAND, BALTIMORE COUNTY**

**DEPARTMENT OF HUMAN RESOURCES**



# Overview of the Performance Management Process

The Performance Management Process or PMP is a two-way conversation between the employee and supervisor; this communication process includes clarifying and setting expectations, identifying goals and special projects, providing on-going feedback, and evaluating results. The five major components of the PMP are: (1) Expectation-Setting Meeting, (2) Midway Feedback Session, (3) Employee Self-Assessment, (4) Ongoing Feedback throughout the rating period, and (5) Performance Review.

## **I. EXPECTATION - SETTING MEETING**

The rating period is from April 1st thru March 31st. Sometime in early April, the supervisor will hold an Expectation-Setting meeting with the employee. Prior to this meeting, the supervisor should be prepared with what he/she believes are the expectations of the job (this is determined by looking at an updated job description that describes the functions/tasks and responsibilities of the job). Utilizing the essential or major functions/tasks and responsibilities of the position, relevant expectations are set. Although the final decision of performance expectations lies with the immediate supervisor, the employee's input should be given careful consideration during the establishment of expectations. Both the supervisor and the employee should discuss the importance and priorities of each of the expectations to determine (if applicable) which expectations should have a greater weight assigned to them. At the end of the Expectation-Setting meeting, the supervisor should review with the employee, the standards for each of the relevant performance factors; that is what is considered an "effective" rating (formerly "meets expectations") for the position. In addition, it is at this time both the supervisor and employee set goals if applicable. The supervisor should record these standards, summarize the meeting, and have the employee sign the cover sheet of the PMP form.

## **II. ONGOING FEEDBACK**

Throughout the Performance Management Process, the supervisor should provide the employee with ongoing feedback regarding performance. The feedback includes giving both positive and corrective feedback. The feedback, when applicable, should be documented.

## **III. EMPLOYEE SELF-ASSESSMENT (Optional)**

The Employee Self-Assessment is an employee's evaluation of his/her own performance during the rating period. The Self-Assessment is performed by the employee in preparation for the Midway Feedback session and the final Performance Review meeting. The purpose of the Self-Assessment is to have the employee think about and give serious consideration to how he/she has performed in being effective in meeting expectations. To prepare for the Self-Assessment, the employee uses a copy of the original expectations and goals that were set by the employee and supervisor during the beginning of the PMP cycle.

#### IV. MIDWAY FEEDBACK SESSION

Between the fifth and seventh month of the rating period, the supervisor and employee have a formal meeting to conduct a Midway Feedback Session. The purpose of this meeting is to review the employee's performance through the first six months of the review period. During this meeting, no formal evaluation is made on the employee and the form is not completed. However, the supervisor will advise the employee of what the final appraisal would be if the employee was given the evaluation that day. The supervisor should discuss both positive and corrective feedback and make any adjustment/changes to expectations or goals as needed. The supervisor should summarize the meeting, follow-up in writing or make notes, and have the employee sign the cover sheet of the PMP form.

#### V. THE PERFORMANCE REVIEW

At the end of the review/rating period, the supervisor and employee discuss the employee's performance for the entire rating period. The supervisor will have documentation to support the final rating. Using the relevant factors that were discussed during the initial expectation-setting meeting, the supervisor will rate the employee's performance as either "Exceptional," "Highly Effective," "Effective," "Improvement Required," or "Unsatisfactory." The employee will discuss his/her final Self-Assessment with his/her supervisor. Subsequent to hearing the employee's input, evaluating each of the performance factors, and assigning an overall rating the supervisor and employee shall discuss development plans (if applicable).

Both the supervisor and employee will review the performance factor ratings to identify major strengths, areas for improvement, and development plans. Specific focus should be given to those areas that were identified as "Improvement Required" or "Unsatisfactory" to assure that those areas are strengthened and that an effort is made to develop the employee in these areas.

After summarizing the meeting, the supervisor and employee shall sign the cover sheet of the PMP form acknowledging that the performance review was held. The employee should check off that he/she is either in agreement or not in agreement with the performance appraisal results. The employee may note as an addendum to the PMP form the areas in which he/she is not in agreement with the final ratings. Next, the rater's supervisor should sign the completed PMP form. The raters should let their immediate supervisors know in advance how they intend to rate their employees.

Once the Performance Appraisal review is completed, the PMP cycle starts again and an Expectation-Setting meeting should be conducted. This meeting can be done at the same time the final appraisal is being completed. New development plans and goals should be also be established. However, if during the appraisal the employee is rated as "Improvement Required" or "Unsatisfactory" it is recommended that the Expectation-Setting meeting be held at a later date.

**Note:** Performance management is a *process* and not an *event*. In addition, the PMP is not a disciplinary tool. Should you have problem employees who could benefit from counseling and corrective feedback, please contact Human Resources for technical assistance.

## Setting Expectations

An updated job description will serve as a good starting point for the development of performance expectations. Job descriptions typically are very general in their definition of job duties, and thus do not provide specific measures of performance. The supervisor and employee should read over the tasks and duties that are outlined in the job description and then use those functions to further define expectations using the SMART criteria.

**Specific** – Expectations must describe specific behaviors that are required for job performance.

**Measurable** – Expectations should have a quantitative value to allow for objective monitoring and measurement.

**Attainable** – All expectations must be realistic for the employee to achieve and accomplish within the stated guidelines.

**Relevant** – All expectations must be relevant to the requirements of the current position. If new duties or tasks arise (through the natural evolution of the position), the supervisor and employee must devise a development plan to allow the employee an opportunity to acquire the “new” relevant skill.

**Timely/Trackable** – Expectations should be, through measurement, trackable by either the supervisor or employee. This would allow for the monitoring and evaluation of current performance levels.

# How to Write Performance Expectations

Because of the differing nature of job duties and tasks, various means of expressing performance standards are necessary. Not all of the means, however, are pertinent to each task. The degree of importance to be attached to each may vary from position to position even though the task may appear to be the same.

Some of the more prevalent means of expressing performance standards are as follows:

## 1. Result/Effect Obtained

This method of expressing performance standards is used when the performance can best be measured or expressed in terms of the ultimate result/effect to be obtained. In writing this type of standard, such conjunctive phrases as the following are often helpful:

- **so that**
- **in order that**
- **in order to**
- **as shown by**

Example: Schedules will be developed so that they reach the printer in time for printing the next semester's catalogue.

## 2. Manner-of-Performance

Manner-of-Performance standards are used when there is a required procedure or method for accomplishing a task. These are usually set forth in memos, regulations, etc. They can be used to address coordination issues, working relationships, etc.

Example: The telephone must be answered using the following procedure:

1. Answer by the third ring
2. Give greeting "Good (morning/afternoon)"
3. State name of department
4. State your name
5. Ask "How may I help you?"

## 3. Cost Effectiveness

This dimension of measurement may be used when the performance can be assessed in terms of **the amount of money saved, earned, or expended** in the accomplishment of the work being performed.

Example: Expenditures will not exceed the amount allocated for the budget year.

## 4. **Quantity of Work**

This method of expressing performance standards states how many work units must be completed within a specified time period for this aspect of the work. Quantity standards must be definite. They **must state specific numbers, how many, how fast, etc.**

Example: All the trash containers in Building 105 will be emptied no later than 10:00 am each day.

## 5. **Time**

Time standards are used where the quantity cannot be measured, but time limits can be set as a definite requirement of work. Time standards answer questions such as:

- **When?**
- **How soon?**
- **Within what period of time?**

Example: The morning mail will be distributed by 12 noon.

## 6. **Quality of Work**

Quality standards exist for almost every task. Quality is generally expressed in terms of accuracy, appearance of work, thoroughness, or general results achieved.

Example: Reports will be written and typed so that they are not returned more than once for corrections.

## USING PERFORMANCE FACTORS

ESSENTIAL FUNCTIONS	PERFORMANCE FACTORS (OPTIONAL)	“EFFECTIVE”
Provide administrative assistance and support to Dr. Jones	Customer Service Quality of Work Job Knowledge	<ul style="list-style-type: none"> <li>★ Type, spell check, and proofread program paperwork so that less than one per week needs to be redone.</li> <li>★ All incoming mail should be opened and distributed less than two hours after it is received in the department. All memos and letters will conform to the standards of departmental format.</li> <li>★ No memo or letter shall be submitted more than once for corrections.</li> <li>★ Response to all inquiries about the program within twenty four hours of receipt.</li> <li>★ Submit an updated monthly budget report by the fifth working day of each month</li> <li>★ Maintain the Director’s calendar by scheduling and coordinating meetings and appointments.</li> <li>★ Submit a weekly calendar (for the following week) by the end of the business week. Submit an updated daily schedule for the next day by the end of each business day.</li> </ul>
Coordinate the annual grant conference	Customer Service Quantity of Work Quality of Work	<ul style="list-style-type: none"> <li>★ Schedule the date and send out all invitations by March 31<sup>st</sup>.</li> <li>★ Schedule rooms and make copies of any handouts and programs.</li> <li>★ Coordinate with catering for food and drinks.</li> <li>★ Make sure certificates are prepared and guest list is updated.</li> </ul>
Use database to track student applications	Quantity of Work Customer Service Quantity of Work	<ul style="list-style-type: none"> <li>★ Ensure database is updated within three working days of receipt of application.</li> </ul>
Coordinate grant proposals and submittals	Quality of Work Job Knowledge	<ul style="list-style-type: none"> <li>★ Double-check all paperwork for posting to accounts.</li> <li>★ Submit updated budget to Director.</li> <li>★ Submit tally sheet for all upcoming “known” expenditures.</li> <li>★ Update inventory for all supplies with current counts (including overhead/auxiliary supplies).</li> <li>★ Collect and tabulate results. Submit to Director.</li> </ul>
Manage student workers	Management Staffing Leadership and Motivation	<ul style="list-style-type: none"> <li>★ All student work schedules are posted two weeks prior to the beginning of the workweek.</li> <li>★ Weekly work schedules are completed and submitted to supervisor for approval one week before posting.</li> </ul>

**NOTE:**

Expectations for the performance of different employees with the same job title should be very similar, and when possible, the same. (Some specifics duties or tasks may differ.) Where desirable, a “group” Expectation-Setting meeting may be held.

# EXPECTATIONS SETTING WORKSHEET

Job Title: \_\_\_\_\_

<b>WHAT</b>		<b>HOW</b>
<b>MAJOR RESPONSIBILITIES</b> Outcomes Products Goals Priorities	<b>ESSENTIAL FUNCTIONS</b> Duties Tasks Activities	<b>PERFORMANCE EXPECTATIONS</b> Standards of Performance Evaluation Criteria “Effective”
<i>Example: Administrative Assistant</i> <ul style="list-style-type: none"> <li>• Providing front desk coverage</li> </ul>	<ul style="list-style-type: none"> <li>• Answering phones</li> </ul>	<ul style="list-style-type: none"> <li>• Answer phones within 3 rings</li> </ul>

# How to Conduct the Self-Assessment

A SELF-ASSESSMENT is an employee's evaluation of his or her own performance during the specified performance period. The purpose of the Self-Assessment is to have the employee think about and give serious consideration to how he or she has performed in meeting expectations. The Self-Assessment is also important in that it prepares the employee to take an active role in the Midway Feedback session and the final Performance Review.

## Preparing for a Self-Assessment

In order to prepare for the Self-Assessment, the employee will need the following items:

**A Copy of the PMP Form** The employee should already have a copy of the original PMP form that the supervisor and employee used to set expectations at the beginning of the review period. The employee should make a copy of the form to write comments and remarks while conducting the Self-Assessment.

**Documentation** The employee should gather all notes and records about performance that will serve as documentation for the review period.

**Time** The employee should allocate approximately one to two hours of time to look over the PMP form, review any documentation he or she has maintained, think about performance, and complete a Self-Assessment.

**Quiet** The employee should conduct the Self-Assessment in a quiet place that will ensure no interruptions. This will help ensure that the employee can devote full attention and reflection to overall performance.

**Relax** The employee should try to relax and reflect upon individual expectations, experiences, and incidents. No one is perfect, and it is very likely that good and bad experiences will be recalled. The purpose of the PMP process is to correct performance weaknesses and develop unused skills and abilities. In order to do this, the employee must be willing to recognize areas that need improvement or development.

**Review the Form and Expectations** The employee should read each selected performance factor, the definitions, and the "Effective" criteria that were determined by the supervisor and employee. The employee should also recall any informal discussions that may have taken place about any of the expectations.

**Recall Performance** The employee should read and organize all notes and documentation related to the expectations on the PMP form. The employee then should recall all aspects of performance that relate to each area or expectation. The employee must be certain to consider performance for the entire review period, not just for the beginning or for the end of the period.

**Rate Performance** The employee must decide what performance level best illustrates his or her performance throughout the review period. First, he or she should read the rating scale and the

definitions located on the PMP form. The employee then rates performance by placing a check in the appropriate box and writing a brief explanation of the reasons for the rating in the "Comments" section of the PMP form. The employee should be very specific in writing down performance that were set during the Expectation-Setting meeting are of particular importance in providing supporting documentation.

**Identify Development Needs** After completing an evaluation and rating for each area, the employee should turn to the last part of the PMP form and identify major strengths as well as areas for improvement. Then the employee should identify any training programs, assignments, on-the-job activities, or everyday duties that can be adjusted to strengthen targeted areas of performance.

**Bring Form to Meeting** The employee should bring the completed Self-Assessment to the meeting to discuss with the supervisor.

# Self-Assessment

A **self-assessment** is an employee's evaluation of his or her performance during the rating period. It should be completed by the employee prior to the midterm feedback and final appraisal meetings.

The **purpose** of the self-assessment is to have the employee think about and give serious consideration to how he/she has performed during the rating period.

- The employee should already have a copy of their expectations from the initial expectation-setting meeting

In an effort to do a self-assessment, an employee should ask his/herself some of the following questions:

1. What direction do I need to understand my job with regards to my duties and responsibilities?

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2. What have been my significant accomplishments over the past rating period?

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3. What are my strengths?

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4. What are the areas in which I need improvement?

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5. What would help me enhance my performance?

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6. How would I rate my overall performance for this review period?

Exceptional \_\_\_\_ Highly Effective \_\_\_\_ Effective \_\_\_\_  
Improvement Required \_\_\_\_ Unsatisfactory \_\_\_\_

# **STRATEGIES FOR PROFESSIONAL DEVELOPMENT**

There are many ways to do professional development, and it is important to do a blend of approaches and also take the person's learning style into consideration.

It is best when the supervisor is aware of the learning goals, talks with the employee about what is being learned, and actively supports practice and application of new knowledge and skills on the job.

## **Training Programs**

For learning new knowledge and skills. Best when they include opportunity for conversation, activities for practice and planning how participants will apply what they are learning.

## **Conferences**

Informational and provide the benefit of learning and getting creative ideas from colleagues in your field and from other places.

## **e-Learning**

In addition to full educational modules, SkillSoft has simulations, Job Aids and Skill Briefs.

## **Job Shadowing**

Observing and sitting "side-saddle" with a more experienced person.

## **Coaching and Mentoring**

Can take different forms: one-on-one coaching from the supervisor, from others in the department, from others doing similar work; coaching/mentoring can also be from someone outside of the department.

## **Special Projects**

Projects that provide "stretch" opportunities to learn and practice new skills, or to have new ways of being.

## **Small Group Discussion**

People with common challenges share learnings and best practices.

# PERSONAL DEVELOPMENT PLAN

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**Specific Goal** (stated in clear assessable terms)

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**Time line for completion**

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**Action steps:**

1. Modifying behavior – what I will do differently:

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2. Modeling others – who I will observe and when I will observe them:

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3. Practice – how I will use new or modified behaviors on the job:

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4. Collecting ongoing feedback – how I will monitor my progress through others:

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5. Reading/classes – how I will add to my knowledge base:

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**Expected outcomes:**

1. When I achieve this goal, I will know I have been successful because:

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2. The other people who will notice and be impacted by this are:

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3. The difference they will notice is:

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