HUMAN RESOURCES

Performance Management Program Supervisor's Guide

UNIVERSITY of MARYLAND BALTIMORE

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To improve the human condition and serve the public good of Maryland and society at-large through education, research, clinical care, and service.

Our Vision…

The University will excel as a pre-eminent institution in its missions to educate professionals, conduct research that addresses real-world issues affecting the human condition, provide excellent clinical care and practice, and serve the public with dedication to improve health, justice, and the public good. The University will become a dominant economic leader of the region through innovation, entrepreneurship, philanthropy, and interdisciplinary and interprofessional teamwork. The University will extend its reach with hallmark local and global initiatives that positively transform lives and our economy. The University will be a beacon to the world as an environment for learning and discovery that is rich in diversity and inclusion. The University's pillars of professionalism are civility, accountability, transparency, and efficiency. The University will be a vibrant community where students, faculty, staff, visitors, and neighbors are engaged intellectually, culturally, and socially.

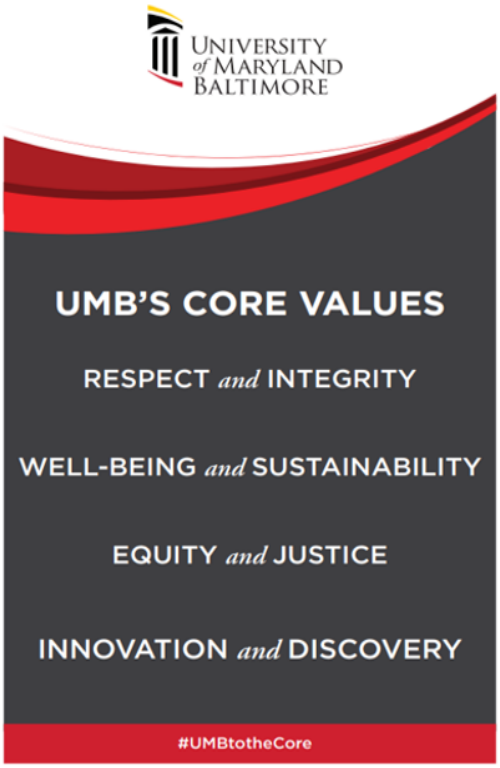


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PART I INTRODUCTION

Effective performance evaluation involves regular communication between the supervisor and the employee concerning expectations, goals, and the standards for measuring performance. The Performance Management Program (PMP) provides an annual, ongoing structure for employees and supervisors to communicate about performance and plan for professional development.

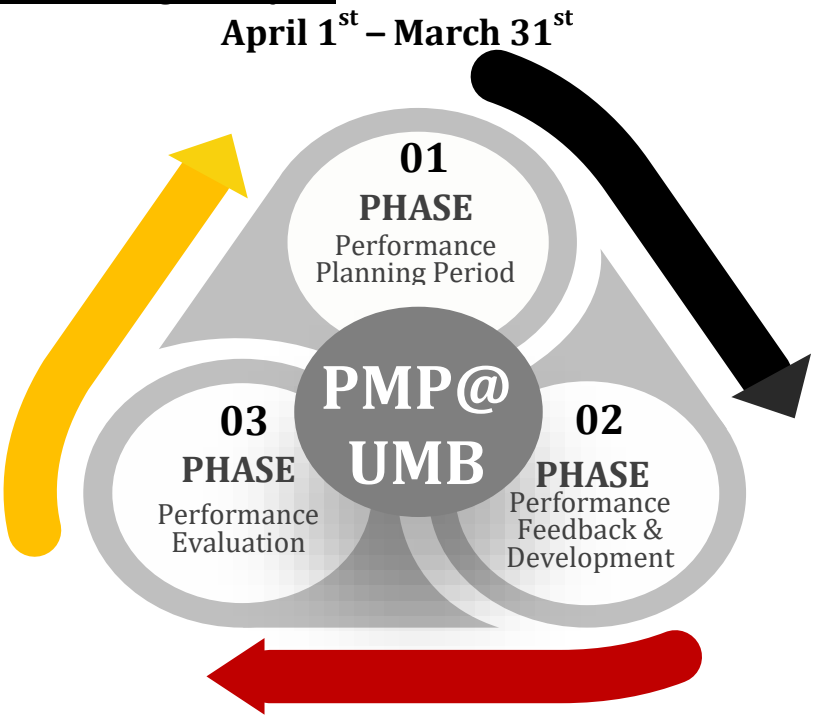
The three major components of the PMP are:

Phase 1 - The establishment of expectations for the coming year, discussion of specific goals between the supervisor and the employee at the beginning of the rating period, and documentation of those expectations on the Objectives and Learning Goals form. This will be available in the PMP portal in May of each year.

Phase 2 - Continuous communication and feedback between the supervisor and the employee throughout the year. The mid-year evaluation occurs during this phase.

Phase 3 - A formal discussion between the supervisor and the employee at the end of the rating period on achievements, areas for improvement, strategy for development, and assessment by the supervisor of the employee's accomplishments and documentation of that assessment on the Performance Evaluation form.

Performance Management Program Cycle



Cycle Dates – Performance Management Program

Performance Management Cycle: April 1st – March 31st					
Employee Class	**Performance Planning** (Phase 1)	**Performance Feedback & Development** (Phase 2)	**Mid-Cycle Review Due** (Phase 2)	**Self-Evaluation Due** (Phase 3)	**Performance Evaluation Due** (Phase 3)
Non-Exempt	May 1st – May 31st	Ongoing	October	Determined by Supervisor	April 30th
Exempt	June 1st – June 30th	Ongoing	November 30th	Determined by Supervisor	June 1st

Performance Planning – Phase 1

	Phase 1 Cycle Dates
Non-Exempt	May 1st – May 31st
Exempt	June 1st – June 30th

The 1st phase in the Performance Management Process focuses on planning and establishing expectations for the coming year. During this timeframe, supervisors and employees should meet to discuss and set specific goals and operational objectives that will be used to assess the employee's overall performance at the end of the rating cycle. Established goals and objectives should be documented on the Operational Objectives and Learning Goals form in the PMP platform.

Operational Objectives

Operational Objectives are clearly defined outcomes that are aligned with the goals of the department, School/Administrative Unit or UMB as a whole; have an impact on departmental operations; and are measurable and can be achieved during the cycle identified.

Objectives can also include information directly from the employee's job description or items related to upcoming projects.

When establishing Operational Objectives, consider the following:

- ✓ **SMART Method:** Always utilize the SMART (Specific, Measurable, Achievable, Relevant, and Time-Bound) method for setting Operational Objectives with your employees.
- ✓ **Alignment with Operational Needs**: Ensure that the objectives align with the current operational needs and strategic goals of the School/Administrative Unit and/or department.

- ✓ **Linkage to Job Description**: Operational Objectives should be relevant and directly linked to the employee's job description, ensuring that they reinforce the core responsibilities and expectations of their role.
- ✓ **Measurability and Assessment**: Define clear, measurable criteria for each Operational Objective to facilitate the assessment of progress and achievement.
- ✓ **Communication Plan**: Develop a clear communication plan to discuss and review objectives. This plan should outline how often you will meet to review progress, provide feedback, and adjust the objectives as needed.
- ✓ **Resource Availability**: Consider the resources required to achieve the objectives, including time, tools, and resources. Ensure that employees have access to the necessary resources to successfully meet their goals.
- ✓ **Prioritization**: Help employees prioritize their Operational Objectives, especially when balancing multiple goals to ensure focus on high-impact activities and balance of workload.
- ✓ **Flexibility**: Be prepared to adjust objectives as operational needs may change. Flexibility ensures that the department can respond to unexpected challenges or opportunities without losing momentum.
- ✓ **Support and Guidance**: Provide continuous support, feedback, and guidance to employees as they work towards their objectives. Regular check-ins and availability for questions or concerns can help employees stay on track and feel supported in their roles.

Learning Goals and Development

Setting Learning Goals each year is a vital practice that benefits both employees and the institution. It not only aids in personal development and job satisfaction but also contributes to the overall success of the institution. Employee development plans contain Learning Goals designed to help an employee develop knowledge, skills, and capabilities required for current or future roles that are aligned to the UMB Core Values, institutional needs, and the employee's career goals.

When establishing Learning Goals with your employees, be sure to include Learning Goals that are tied to the UMB Core Values, the job description, operational objectives, and allow an opportunity for the employee to have an open dialogue about the areas in which you and the employee would like to see growth and development.

Why Set Goals?

- **Core Values Alignment:** Reinforces a cohesive culture, driving commitment to shared principles.
- **Promotes Continuous Learning:** Encourages continuous improvement and a culture of learning.
- **Aligns Individual and Organizational Objectives:** Aligns employee development with organizational objectives, ensuring strategic goals are met efficiently.
- **Improves Performance and Productivity:** Learning Goals can address performance opportunities and enhance productivity by equipping employees with new or improved skills.
- **Enhances Employee Engagement and Satisfaction:** Investing in employee growth increases job satisfaction and engagement, demonstrating organizational value.

- **Employee Skill Development**: Consider how achieving these Learning Goals will contribute to the employee's skill development and career growth. Learning Goals should offer opportunities for professional development and learning.
- **Prepares for Future Challenges**: Regular skill updates prepare employees and the institution to tackle any potential future challenges.
- **Fosters Innovation and Discovery**: Encouraging learning fosters innovation, as new skills and knowledge can lead to process improvement.
- **May Support Career Development:** Achieving Learning Goals may support career development when advancement opportunities become available.
- **Enhances Adaptability:** Learning new skills enhances an employee's ability to adapt creating increased flexibility in times of change.

When establishing Learning Goals, consider the following:

- ✓ **SMART Method**: Always utilize the SMART (Specific, Measurable, Achievable, Relevant, and Time-Bound) method for setting Learning Goals with your employees.

- ✓ **Flexibility:** Be prepared to adjust goals as needed based on changing institutional priorities, new opportunities, or unforeseen challenges.

- ✓ **Support**: Ensure that employees have the support they need to achieve their goals, whether it's through mentoring, training resources, or time allocation for learning activities.

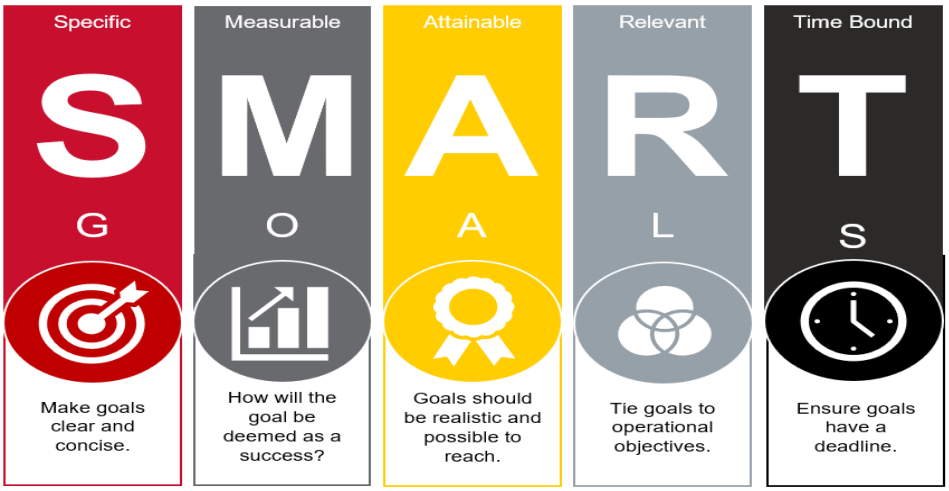
- ✓ **Feedback**: Provide regular feedback on progress toward learning goals, offering encouragement and guidance to keep employees motivated and on track, and fostering open dialog with the employee.

- ✓ **Recognition**: Acknowledge and celebrate achievements to reinforce the value of learning and personal development within the institution.

- ✓ **Future Job Responsibilities**: When possible, incorporate Learning Goals that prepare employees for future roles and responsibilities within the institution.

- ✓ **Available Resources**:
  - eLearning – Percipio Courses
  - Committee Participation
  - Conference Attendance
  - Professional Coaching
  - Career Coaching
  - Job Shadowing/Cross Training
  - Employee Assistance Program (EAP)

SMART Goals and Objectives



The SMART method for goal and objective setting is effective both personally and professionally and can apply to both immediate and future goals. While goal setting is important on its own, SMART goals provide focus, clear direction, and identify priorities.

The SMART method ensures goals and objectives are designed in a way that fosters a clear understanding of what constitutes expected levels of performance and successful professional development.

Let's review what goals and objectives should be:

- Goals and objectives should be **specific** and clear.
  - If employees are unsure about their goals, they should ask questions and seek clarification.
- Goals and objectives should be able to be **measured**.
  - Example: The goal is to make 50 widgets per month.
- Goals and objectives should be **achievable** (possible).
  - Example: The goal is to make 50 widgets per month and the supervisor tells the employee, "Your goal is to now make 1000 widgets per month." Consider whether this is achievable.
- Goals and objectives should be **relevant** and tied to something that applies to the employee's job.
  - Example: Goals should tie to operational (department) objectives, which tie to institutional objectives, which tie to our mission, vision, and values.
- Goals and objectives should be **time bound** and have an expected end date or deadlines for completion.
  - Example: Build 100 widgets by the end of each month.

Common types of goal or objective examples may include:

- Increase something…
- Make something…
- Improve something…
- Reduce something…
- Save something…
- Develop someone…

Let's review the following components of the SMART goals and objectives method:

Specific	Be specific about what you want to accomplish. Include an answer to popular questions: • Who? • What? • When? • Where? • Why?
Measurable	What metrics will determine if the goal was met? Common metrics include: • Automated reports • Audits, tests • Surveys • Work products, samples
Attainable	The goal should inspire motivation, not discouragement. Consider the following: • How to accomplish the goal • If the tools needed are available
Relevant	Does the goal align with the greater business needs?
Time Bound	If the goal does not have a realistic timeline, it is unlikely it will be reached. If the goal has a longer timeline, consider midpoint reviews.

Sample SMART Goals:

Example - Reduce overtime in the department from 200 hours per month to 50 hours per month by the end of the fiscal year with no increase in incident reports.

Example – By June 1, 20XX, complete three (3) courses in the Learning Management System on presentation skills.

Example – Increase the number of widgets made per month from 50 to 100 by the end of June 20XX.

See SMART Guide Appendix III

Communicate the Plan

By the end of Performance Planning phase 1, employees should have clear, specific performance goals and expectations set for the upcoming cycle year. Managers are responsible for ensuring employees are afforded the opportunity to openly participate in the planning process.

When meeting with employees, supervisors should:

- Review the job description (functional)
- Discuss operational objectives
- Convey performance measures
- Establish learning goals and development plan

Performance Feedback and Development – Phase 2

	Phase 2 Cycle Dates
Non-Exempt	Ongoing
Exempt	Ongoing

Phase 2 of the Performance Management Process focuses on performance feedback. During this phase supervisors are responsible for having two-way discussions recognizing employee excellence and areas for improvement and learning, as well as identifying barriers to performance.

To successfully assess and provide feedback to employees, supervisors should:

- Gather information on the employee's performance
- Document performance throughout the performance period
- Meet with employee regularly to provide feedback on performance
    - Allow an opportunity for open and continuous feedback
    - Provide an opportunity to correct performance in real-time
    - Decrease surprises during the annual review process
- Conduct Mid-Cycle evaluations and meetings with employees
- Make changes to the Operational Objectives and Learning Goals, if needed

Mid-Cycle Review

	Mid-Cycle Review Dates
Non-Exempt (Required)	October
Exempt (Strongly Encouraged)	November 30th

Approximately halfway through the performance cycle, the supervisor is responsible for meeting with the employee to conduct a mid-cycle review. The purpose of this is to not only review the employee's performance for the first half of the cycle, but to allow the employee the opportunity to correct any areas that need improvement and to reassess their current performance in relation to where they would like to be for their annual evaluation.

During the mid-cycle review, both the supervisor and the employee should discuss any established operational objectives and learning goals to ensure that they are still relevant to the needs of the employee and department. After discussion and feedback, objectives and goals should be updated as necessary.

Mid-cycle reviews and regular feedback meetings provide supervisors a useful method of progressive documentation to assist with the employee's end of cycle review.

Mid-cycle reviews are **required for Non-Exempt employees and strongly encouraged for Exempt employees**. **Failure to provide a Non-Exempt employee with a mid-cycle review will result in the employee's evaluation being assessed at the "Meets Standards" level for that rating cycle.**

Key Takeaways for Phase 2 – Performance Feedback and Development:

- Provide Employees with Regular Feedback
  - Opportunity to provide formal feedback
  - Chance to acknowledge success
  - Suggest areas for improvement and learning activities
  - Reassess established objectives and goals
- Regular Scheduled Feedback Meetings Aid in Annual Evaluation Construction
  - Avoid surprises at annual review
- Mid-Cycle Reviews are required for Non-Exempt Employees

Performance Evaluation – Phase 3

	Performance Evaluation Due Dates
Non-Exempt	April 30th
Exempt	June 1st

The 3rd Phase in the Performance Management Process is the evaluation phase. The Performance Evaluation phase is used to evaluate an employee's performance compared to identified performance expectations discussed during the planning phase and the feedback and development phase.

Who Receives an Evaluation?

Non-Exempt regular, Exempt regular, and Contingent II employees who have been in their position for at least 120 days by the end of the cycle (March 31st) are eligible to receive a Performance Evaluation.

PMP EVALUATION ELIGIBILITY
Employees who have been in their position for at least 120 days by the end of the cycle (March 31ST) and are either: • **Non-Exempt** • **Exempt** • **Contingent II** **Note: Must have been hired by December 1st to receive an evaluation.**

Employee Self-Evaluation (Optional)

	Self-Evaluation Timeframe
Non-Exempt	April 1st – April 8th
Exempt	April 1st – April 30th

A self-evaluation is an employee's evaluation of their own performance during the performance cycle. Self-evaluations engage employees in the performance evaluation process and allow for open channels of communication. Affording an employee the opportunity to self-evaluate communicates that the evaluation is a team effort and not a previously determined outcome.

While not required, all employees should be provided with the opportunity to complete a self-evaluation prior to the evaluation meeting between the employee and supervisor. Employees who wish to complete a self-evaluation should do so through the Performance Management platform. The self-evaluation due date is determined by the supervisor.

When completing an employee's evaluation, consider the self-evaluation completed by the employee. Employees may bring attention to their areas of performance that may have been forgotten. Supervisors will be able to assess if the employee's evaluation of themselves is different than the supervisor's and prepare their documentation accordingly. It is recommended that supervisors encourage employees to complete self-evaluations only if they intend to consider what the employee presents prior to finalizing the performance review.

Rating Employee Performance

At the end of the cycle, the supervisor and employee will discuss the employee's performance throughout the entire cycle. Equipped with gathered information and documentation (use documentation from the Feedback and Development Phase) and the employee's self-evaluation (if applicable), the supervisor evaluates the employee on the performance expectations established during the Planning Phase (Phase 1). The determination of the ratings will be consistent with the defined rating scale: Outstanding, Above Standards, Meets Standards, Below Standards, or Unsatisfactory.

During the Performance Evaluation meeting, the supervisor and the employee will discuss the assessment of the employee's performance. Supervisors should approach the meeting with an open mind considering any disagreements or rebuttals the employee provides related to assigned ratings. After considering the employee's perspective, supervisors are responsible for making changes as necessary and presenting the updated evaluation to the employee for final review and signature.

Rating Scale	
Outstanding	The employee's work **consistently exceeded expectations**. This rating is for an employee who not only fully meets but also consistently surpasses job expectations in all areas. For this rating, the supervisor must provide specific instances where the employee delivered exceptional work that added significant value to the team or institution on the evaluation form. This could include but is not limited to taking on extra responsibilities, innovating processes, or consistently achieving high-quality outcomes.
Above Standards	The **majority** of the employee's **work exceeded** expectations. This is for an employee whose performance exceeds expectations in many—but not necessarily all—areas of their job. For this rating, the supervisor must provide examples of key areas where the employee has gone beyond the norm on the evaluation form. This may include but is not limited to completing tasks ahead of schedule, demonstrating strong initiative, or significantly contributing to team goals more often than not.
Meets Standards	Performance **fully met** the established job expectations and may have periodically exceeded expectations. This is not to say that everything is perfect. **This rating is for an employee who reliably achieves what is expected in their role.** They may occasionally exceed expectations, but this is not consistent. For this rating, the supervisor should review the established job expectations and document how the employee met them on the evaluation form. They may also note occasional instances of higher performance, but these should not be the norm.
Below Standards	Performance met **some** of the job expectations but did **not fully** meet the established measures. Supervisors should use this rating when an employee has shown they can perform the job to some degree but falls short in certain aspects. For this rating, the supervisor should identify which job expectations are not being met and must provide examples of this underperformance on the evaluation form. This rating must be accompanied by a Performance Improvement Plan (PIP) to help the employee improve that outlines the areas needing attention and the support they'll receive to help meet expectations.
Unsatisfactory	Performance **generally failed** to meet the established expectations or required frequent, close supervision and/or the redoing of work. This rating is for when an employee frequently fails to meet job expectations. For this rating, the supervisor must document specific instances where the employee failed to meet expectations, needed additional supervision and/or had to redo their work on the evaluation form. This rating must be accompanied by a Performance Improvement Plan (PIP) to help the employee improve that outlines the areas needing attention and the support they'll receive to help meet expectations.

See Appendix II for additional information on Rating Definitions.

PART II PREPARING FOR THE PERFORMANCE EVALUATION MEETING

While the supervisor and employee prepare independently for the Performance Evaluation meeting, the supervisor's preparation is the first step in setting the stage for a successful meeting. Preparation may include reviewing prior employee achievements, preestablished objectives and goals, and reviewing performance feedback.

Plan Ahead

- Review the current year evaluation form and training
    - Familiarize yourself with evaluation due dates, the planning cycle, goal setting dates, etc.
- Schedule the meeting ahead of time with the employee
    - Consider timeframes that work for both the supervisor and the employee
- Review the employee's job description
    - Submit job description updates as needed for exempt employees
- Review the employee's prior performance evaluation
    - Review the expectations previously set
- Review the employee's self-assessment if completed
- Collect documentation to support employee performance
- Be consistent and objective in reviewing performance for all employees

Prepare the Evaluation

- Evaluate the employee's performance based on the **entire rating cycle**. Use the job description, goals set during the planning phase of the performance management cycle, objectives met, and input from others (rating official), if applicable.
- Provide examples of expectations, areas of success, and areas of improvement
    - Any areas where improvement is needed should be noted, along with examples of deficient performance or behavior, if applicable.
- Provide the evaluation to the employee **in advance** of the evaluation meeting
    - Providing the employee with the evaluation ahead of the meeting allows the employee time to digest the ratings and come prepared with documentation should they disagree with the ratings

Rater Errors

Rater bias is an error in judgment that can occur when a person allows their preformed biases to affect the evaluation of another.

Consider the following when rating an employee's performance:



HOW TO MINIMIZE RATER ERRORS

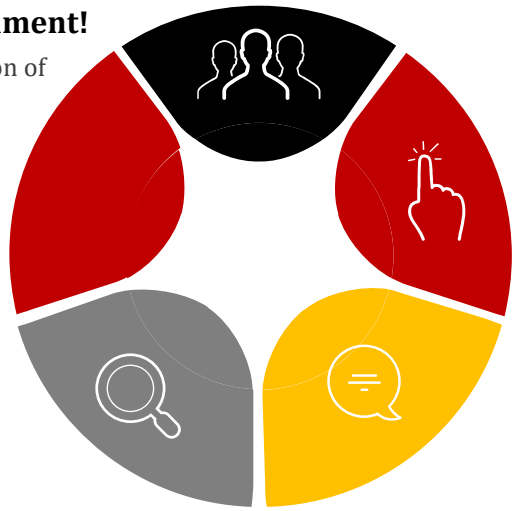
Ask Yourself These Questions…

Document, Document, Document!

Is my rating based on documentation of my observations?

Avoid Generalizations

Am I evaluating each competency separately or generalizing?



Unconscious Bias Check

Do I have unconscious biases that are influencing my judgments?

Full Scope of Performance

Am I evaluating performance over the course of the performance period or am I using initial perceptions?

Setting the Stage for a Successful Meeting with Staff

- Use a private location
  - Consider surroundings: windowed offices, staff outside of meeting room, etc.
- Prioritize face-to-face meetings over virtual meetings
- Set aside sufficient time for the meeting
- Avoid distractions and interruptions – make the meeting a priority:
  - Set phone on silent
  - Do not take incoming calls

PART III CONDUCTING THE PERFORMANCE EVALUATION MEETING

The Performance Evaluation Meeting is a formal discussion about the employee's performance. The discussion should reflect an assessment of the employee's performance throughout the evaluation period. It is imperative that the supervisor and the employee communicate effectively. This meeting should be handled with care and preparation; the tone and quality of the communication during the meeting have a significant impact on future employee performance and morale.

Conducting the Evaluation

- Meet with the employee
- Maintain eye contact and positive attitude
- Lead with positives and then discuss development opportunities
- Use clear and specific language
  - Use "I" statements to describe your own feelings and reactions rather than "you" statements which may be interpreted as blaming
- Avoid judgmental comments and remarks
  - Use facts rather than opinions.
- Welcome solutions and suggestions – encourage employee participation
  - Use open-ended questions to solicit understanding and engagement
  - Do not disregard employee disagreements with ratings. Ask clarifying questions to further understand the employee's perspective.
- Empathize as needed
  - Empathy does not equal agreement
- Make edits to the evaluation as needed
- Summarize the feedback and end on a positive note
  - Schedule another meeting to set goals and expectations for the annual cycle by May 31st for Non-Exempt employees and June 30th for Exempt employees.

Language Do's and Don'ts	
Do	**Don't**
• Use team development areas/opportunities • Use positive language • Show empathy	• Use weaknesses • Compare to peers – you are better than John at x. • Apologize after delivering negative feedback

How to Have Difficult Conversations

Performance Evaluation meetings are often stressful for employees (and supervisors); it may feel like confrontation is unavoidable depending upon the situation. However, when supervisors and employees practice open feedback throughout the planning and feedback phases, the employee should have a clear understanding of what to expect on their evaluation. Remember – the performance evaluation is not the first time an employee should be made aware of a concern.

Even with careful planning, the evaluation meeting often consists of difficult conversations. Use the following to help prepare for those conversations:

- Plan talking points ahead of time
- Focus on facts, not feelings
- Create a culture of honesty
- Aim for understanding, not agreement

How to Deal with Negative Reactions			
	EE Response – Anger	**EE Response – Denial**	**EE Response - Shock**
Supervisor Response	• Remain calm • Acknowledge the employee's reaction • Allow employee to express feelings • Do not get defensive or argumentative	• Remain calm • Actively listen to make sure the employee understood the message • Repeat or restate comments as necessary	• Remain calm • Allow employee time to process feedback • Use open-ended questions to prompt employee responses • Suggest next steps

What to do if an employee disagrees:

- Employees should express their disagreement with their supervisor. This may be done through conversation or included on the evaluation form in the section provided for employee comments.

Overall Ratings Below "Meets Standards"

If an overall rating is "Below Standards" or "Unsatisfactory", Supervisors **must** contact Employee and Labor Relations (ELR) to **complete a Performance Improvement Plan (PIP) within 30 days**.

Contact ELR at 410-706-7302 or hrelr@umaryland.edu.

ELR will assist with:

- Providing guidance to the supervisor in completing PIP template
- Assisting supervisor in establishing duration of PIP
- Reviewing PIP

ELR must be consulted before the PIP is provided to the employee.

What is a Performance Improvement Plan (PIP)?

A performance improvement plan communicates performance expectations where an employee is not meeting the expectations, provides clear instructions on what must be done to correct deficiencies, and establishes the timeframe in which improvement should be accomplished.

See Appendix XII for PIP FAQs

What role does the supervisor have in the PIP process?

Supervisors are responsible for:

- Completing the PIP template
- Establishing the duration of the PIP
- Sending the PIP to ELR for review
- Monitoring and documenting performance
- Meeting with the employee regularly
- Providing a midpoint review of performance during the PIP
- Investing in the employee's success
- Taking appropriate action if the PIP is unsuccessful

See Appendix I for Related Policies and MOUs

PART IV IDENTIFYING DEVELOPMENT NEEDS

Given the cyclical nature of the Performance Management Process, supervisors should be moving into Phase 1 after completing the performance evaluations and meeting with employees. **Phase 1 Planning must be completed within 30 days of the Performance Evaluation due date**.

Consider the ratings the employee received from the recent evaluations and have open and honest conversations with the employee on not only what the supervisor would like to see achieved during the new plan year, but what the employee would like to work on. Create operational objectives and learning goals that will match those needs.

Use the SMART method to create goals and expectation for the next plan cycle.

See Appendix III for SMART Goals Worksheet

PART V APPENDICES

Appendix I – Related Policies and MOU's

VII - 5.20 - USM POLICY ON THE PERFORMANCE MANAGEMENT PROGRAM

VII - 5.20(a) UMB POLICY ON THE PERFORMANCE MANAGEMENT PROGRAM

USM AND AFSCME MEMORANDUM OF UNDERSTANDING ARTICLE 17: PERFORMANCE EVALUATIONS

VII - 8.00 USM POLICY ON GRIEVANCES FOR NONEXEMPT AND EXEMPT STAFF EMPLOYEES

VII - 8.00(a) UMB GUIDELINES AND PROCEDURES ON GRIEVANCES FOR EXEMPT AND NONEXEMPT STAFF EMPLOYEES

Appendix II – Summary of Evaluation Rating Scale

UMB Summary of Performance Evaluation Rating Scale

The following definitions have been developed to assist supervisors with the evaluation of employees in the Performance Management Program. The definitions contain language and guidelines that can be applied to measure the level of each employee's performance.

OUTSTANDING

- Performance consistently far exceeds the requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations of the position; performance is exceptional, and quality of work is superior.
- Consistently integrates a wide variety of technical, managerial, and other skills to effectively solve problems and carry out duties well beyond the expectations of the position throughout the performance cycle; outcomes and solutions are routinely excellent and seldom matched by others.
- Performance is clearly recognizable as being consistently distinguished, which far exceeds all expectations of required job standards. Merits special recognition and opportunities for particularly challenging assignments.
- Demonstrates the highest level of expertise in both handling all assignments and within critical areas; consistently makes on-going improvements.
- Employee demonstrates expertise and serves as a model of excellence or coach to other employees; this individual is chosen among peers to resolve difficult, unusual, and critical issues.

ABOVE STANDARDS

- Performance consistently exceeds the requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations of the position.
- Frequently integrates a wide variety of technical, managerial, and other skills to effectively solve problems and carry out duties, responsibilities, and objectives beyond the expectations of the position; makes on-going improvements.
- Employee demonstrates proficiency in performing difficult and complex aspects of the job competently and thoroughly, including extra and unique tasks assigned.
- Quality of work is excellent; consistently exceeds performance expectations.
- Performance met all major aspects of expectations and exceeded requirements in several key areas. Performed the most difficult parts of the job competently and thoroughly.
- Adds value to the organization beyond what is expected; one of the key contributors within the organization and peer group. Contributes significant results of own initiative.

MEETS STANDARDS

- Performance consistently meets and at times exceeds the requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations of the position.
- Demonstrates ability to integrate a wide variety of technical, managerial, and other skills to effectively solve problems and carry out duties, responsibilities, and objectives within the scope of the position; adds value to the organization.
- Employee consistently demonstrates the expected standard of performance, which means accomplishing his/her goals and objectives as well as meeting all required job standards; quality of work is good.
- Employee strives for on-going improvement.
- Performance is steady, reliable, and is maintained with minimum supervision.

BELOW STANDARDS

- Performance meets some of the requirements to fulfill the principal duties, responsibilities, objectives, and expectations of the position; improvement needed; performance needs improvement.
- Occasionally meets the performance expectations, but not consistently; frequently fails to meet the required level of performance.
- Performance indicates that with guidance and training, improvements may be achieved; requires development.
- Requires more than the normal amount of guidance, supervision, and follow-up to assure that work assignments are completed adequately.

UNSATISFACTORY

- Performance is below the minimum requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations in almost all aspects of the position; fails to meet expectations.
- Assignments are frequently completed at an unacceptable level of performance.
- Consistently fails to meet deadlines and standards of accuracy; quality of work is poor.
- Employee's performance falls substantially short of the criteria and standards of job performance.
- Immediate and substantial improvement is necessary.
- Requires an unreasonable amount of supervision and/or direction to assure work assignments are completed.

Appendix III - SMART Goals Worksheet

SMART Goals Definition Chart

Specific	• What are you going to accomplish? • Why is it important? • Be sure to address: Who, what, where, when and why?
Measurable	• How will you measure your success? • How will you know when you have reached this goal?
Attainable	• Is this goal achievable in the upcoming year? • If not, what needs to be modified to make it achievable. • What resources are needed to do so? • How will you achieve this goal?
Relevant	• What is the relevance of this goal? • Why is it significant to your development and/or department? • How does it align with the needs of the department or your development?
Time-Bound	• What is this goals deadline and when will this goal be achieved? • Does the date align with the needs of the department?

SMART Goals Action Worksheet

Modifying behavior – What attitudes and/or behaviors are necessary for me to embody to reach this goal:

_____

_____

_____

Modeling others – Who do I know who is excellent at this work and how I will learn from them:

_____

_____

_____

Practice – How I will use new or modified behaviors on the job:

_____

_____

_____

Collecting ongoing feedback – How I will monitor my progress through others:

_____

_____

_____

Reading/classes – How I will add to my knowledge base to reach this goal:

_____

_____

_____

Expected outcomes:

When I achieve this goal, I will know I have been successful because I will see, know, and/or feel:

_____

_____

_____

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

_____

_____

The difference they will notice is:

_____

_____

Appendix IV - eLearning Tools for Supervisors and Employees

UMB offers an electronic library of learning experiences using multiple web-based resources ranging from videos to skill briefs and job aids to enhance knowledge and skills of the UMB workforce and increase workplace productivity.

Percipio is Skillsoft's newest intelligent eLearning platform that UMB is using to manage the learning management functions. Percipio offers employees the opportunity to:

- Engage in a modern, simple and intuitive content design.
- Participate in skills-based learning paths.
- Earn digital badges.
- Gauge skill proficiency through Skill Benchmark assessments.
- Create personalized learning playlists.

Please use these learning tools below to prepare yourself and your employee(s) for the Performance Management Process:

- Preparing for a Performance Appraisal
- Percipio Channel UMB Difficult Conversations

Appendix V - Performance Evaluation Workflow for Supervisors

Workflow for Supervisors

- Review Employee Goals from Prior Cycle (if applicable)
- Review Employee Self-Evaluation (if applicable)
- Review Employee Job Description
- Collect and Review Documentation to Evaluate Employee Performance
- Complete Performance Evaluation Form
- Schedule Meeting with Employee
- Send to Rating Official (if applicable)
- Send to 2nd Level Reviewer (if applicable)
- Meet with Employee
- Make Changes to Evaluation Form as Needed
- Create Performance Improvement Plan (PIP) as needed

Appendix VI - Suggested Employee Performance Expectations

The following list contains suggested employee performance expectations, which may be applicable for your employees. Every employee expectation will not apply to every job being evaluated and the suggested expectations are not inclusive. Supervisors should select and discuss with employees only those expectations specific and relevant to the employee's job. Performance expectations should be based on the job being evaluated, not on the employee or the employee's abilities.

BASIC WORK FACTORS

QUALITY OF WORK

- Produces work which has been thoroughly researched and prepared according to user specifications.
- Completes work, which is accurate, with a minimum of errors.
- Organizes work in a neat, concise, and easily understood manner.
- Thoroughly checks quality of work to assure content is accurate and output is error free.
- Follows up to ensure work meets the needs of those who requested or received it.

QUANTITY OF WORK

- Produces high volume of work without sacrificing quality or missing schedules.
- Consistently meets output requirements, even under conditions of pressure or overload.
- Devotes extra effort to produce additional work when needed.
- Directs efforts toward appropriate task; follows action plans and maintains direction.
- Directs attention to work at hand and is not easily distracted.
- Works at a steady pace until task or assignment is completed.

TIMELINESS

- Continually meets time targets for assigned work.
- Informs supervisor when problems occur which may impact time schedules.
- Conducts periodic reviews of due dates to ensure priority requirements are met.

Work Habits

Attendance and Punctuality

- Attends work regularly without excessive absences.
- Arrives at work on time and begins work immediately.
- Takes the appropriate amount of time for lunches and breaks.
- Remains at work until assigned work schedule is over.
- Stays late with proper approval when project or special assignments require.
- Requests leave in accordance with policy/procedures of University and/or School/Department.
- Plans arrival to work, departure time, lunch, and break periods to meet operational needs.

INTERACTIONS

Cooperation and Teamwork

- Devotes effort to accomplish group goals, not just individual goals.
- Accepts responsibility for tasks assigned and performs up to team standards.
- Actively participates with work group in accomplishing goals.
- Offers suggestions to others in group.
- Promotes teamwork within work unit and across departments.
- Willingly shares information and resources to help others.
- Raises issues or opposing viewpoints that assist the group, without offending others.
- Identifies opportunities for improving cooperation and teamwork.

- Responds in a timely manner to requests made by others.

Interpersonal Relationships

- Interacts successfully with a wide range of people.
- Gives personal recognition to others for their achievements.
- Focuses on the problem and not the person when discussing challenges.
- Settles differences of opinion and handles problems tactfully.
- Gives work directives or instructions in a way that generates enthusiasm and commitment.
- Maintains control and composure even when strong differences of opinions occur.
- Accepts constructive criticism and feedback.
- Shows a personal concern for the interests, goals, and needs of others.
- Works to reduce interpersonal conflict.
- Modifies behavior/style, when required, to meet others' needs.
- Listens openly to others, even when disagreeing with the views being expressed.
- Effectively negotiates with others to reach constructive, mutually agreed-upon solutions.
- Establishes smooth and effective working relationships.

CUSTOMER SERVICE AND PUBLIC RELATIONS

Customer Service

- Understands who the customers are (internal and/or external).
- Works with customers to understand their specific needs and expectations.
- Makes special effort to build customer satisfaction, places high priority on customers.
- Initiates corrective action when customer problems occur and follows up to ensure problems are resolved.
- Makes effort to find out how well customer needs are being met.
- Takes appropriate action to defuse tense situations with customers.

Public Relations

- Provides external groups and the public with information about University services and programs.
- Deals with the public in a professional manner.
- Proactively communicates University values and positions to external groups.
- Participates in community functions as a University representative.
- Represents the University in an ethical and responsible manner.
- Ensures that, when representing the University, personal actions reflect positively on the University.
- Identifies or promotes opportunities for University participation in the community.

PROBLEM SOLVING SKILLS

Problem Solving

- Clearly defines problems before seeking solutions; collects all relevant information.
- Simplifies complex problems by breaking them into their component parts and identifies the relationships between them.
- Develops alternative approaches to solving problems, considering possible effects of different approaches.
- Anticipates internal and external changes that impact the organization and capitalizes on opportunities.
- Chooses the best course of action based on an evaluation of all relevant information available.
- Ensures decisions are compatible with other organizational policies and practices.
- Seeks help from others when appropriate to help solve problems.
- Follows up to assure that problems are corrected and stay corrected.
- Develops solutions to prevent recurrence of same problem.
- Develops implementation plan, including anticipated problems that may occur.

Handling Challenges

- Remains composed and goal-oriented in crisis situations when quick decisions are required.
- Applies extra effort to overcome obstacles or unanticipated problems.
- Stays with tough assignments until they are completed.
- Completes assigned tasks with speed and accuracy under conditions of pressure.
- Maintains high quality even under overload conditions.
- Demonstrates a high degree of tolerance for uncertainty.
- Deals effectively with varying workload requirements.
- Performs assigned tasks without repeated instructions under conditions of uncertainty.

Creativity

- Provides ideas for simpler/easier ways to perform work and eliminates work which does not contribute to the goals of the organization.
- Comes up with new ways to solve old problems.
- Breaks out of the status quo and looks at situations from a different perspective.
- Applies known methods or procedures in new areas.
- Applies skills and knowledge to discover new products or services.
- Contributes new ideas on improving operations in the uni.t
- Experiments with new techniques and processes to find a better way of doing things.
- Stimulates creative thinking and problem solving in others.
- Finds new ways to use resources at reduced cost.

JOB SKILLS

Job Knowledge

- Keeps current on new developments, processes, procedures, systems, policies, etc. impacting own job.
- Demonstrates understanding of the relationship between own work and work of others.
- Seeks information from others about job procedures, policies, responsibilities and scope of duties.
- Seeks information from others to increase technical/professional knowledge.
- Consulted as a "resource" by others for technical or professional advice.
- Applies technical/professional expertise to the practical solution of problems.
- Demonstrates a good understanding of non-technical job responsibilities and shares knowledge with others.
- Translates technical information so it can be understood by others with less expertise.
- Provides correct answers to technical questions.
- Attends additional training programs and/or conferences, and takes advantage of on-the-job opportunities, to increase capabilities.

Administration

- Maintains organized records, files, information systems, etc. to easily identify and retrieve information.
- Organizes records so that others can easily obtain information in case of absence.
- Performs administrative duties in accordance with established policies and procedures.
- Documents important aspects of decisions, discussions, and actions as appropriate
- Establishes "historical trails" for major projects so others can easily understand the present status of projects.
- Retains essential information and records and disposes of what is no longer required.
- Processes paperwork accurately and completely.
- Submits reports and other written materials on time without needing reminders.
- Takes steps to improve/streamline administrative systems of paperwork procedures to increase efficiency.
- Has organized system for follow-up so important actions are not overlooked.

Initiative

- Assumes responsibility for work without being told.
- Anticipates potential problems and acts to prevent them.
- Anticipates questions that will arise and has responses prepared in advance.
- Deals with problems immediately before they become serious.
- Advises supervisor on completed assignments and seeks additional work.
- Seeks and willingly accepts tough assignments.
- Initiates contact with others rather than waiting for others to contact him/her.
- Takes advantage of opportunities presented to improve operations when changes are introduced.

Oral Communications

- Uses words easily understood by listeners.
- Makes presentations at meetings which are clear, concise, and relevant to the topic.
- Uses a presentation style and vocabulary appropriate for the message and the audience.
- Listens attentively when others are speaking and demonstrates ability to quickly comprehend oral material.
- Explains complex material in a way others can easily understand.
- Asks clarifying questions to be sure the other person is understood.
- Summarizes main points to facilitate understanding.

Written Communications

- Prepares written reports that are clear, concise, and relevant to the topic.
- Prepares written reports that are neat and well-organized.
- Uses correct grammar and spelling in written communications.
- Uses graphs, tables, or sketches to illustrate important points in written material.
- Uses a writing style and language appropriate for the message and the audience.
- Accurately records information received orally (e.g., names, numbers, messages).
- Anticipates and responds to the written information needs of others.

PLANNING AND ORGANIZING

Planning

- Identifies and develops strategies necessary to meet goals.
- Develops work plans necessary to accomplish objective.
- Identifies barriers to accomplishing objectives and develops plans to overcome them.
- Reviews the workflow and procedures to ensure they meet current work requirements.
- Avoids unnecessary duplication of work or resources within the group or between groups within institution.
- Prioritizes and organizes work in a logical manner.
- Accurately identifies the resources required to complete assigned work or meet objectives.

Setting Objectives

- Identifies and documents unit objectives on a timely basis.
- Collects all relevant information before finalizing objectives, including input from employees, as appropriate.
- Focuses on objectives which will have a significant impact on achieving University goals.
- Establishes clear priorities for the unit's objectives.
- Discusses and gains agreement with manager on the unit's objectives before communicating them to employees.
- Communicates the unit's objectives and priorities to employees in a timely manner to guide their planning activities.

- Updates unit objectives promptly to reflect changes in organizational needs and communicates changes to employees.
- Involves employees in setting objectives; gets input before objectives are finalized.

Organization and Work Allocation

- Organizes the workflow and relationships within and among different units/sections/departments.
- Allocates work to employees by matching their skills and abilities against the requirements of the job.
- Allocates work to employees by taking into consideration their development needs and interests when possible.
- Delegates the necessary authority and control of resources for employees to accomplish the objectives. For which they are held accountable.
- Clearly defines the lines of authority and responsibility within the unit.
- Reviews organization and work allocation in the unit to meet current conditions.
- Restructures the unit when internal or external changes make it appropriate to do so.

Coordination/Integration

- Facilitates information flow among various individuals and groups; passes relevant information on to others.
- Coordinates the efforts of different people or groups to achieve common goals with maximum efficiency.
- Seeks ideas and suggestions of people involved in, or affected by, a situation and obtains advice of others with special knowledge or skills.
- Consults others before making plans or decisions which affect them.
- Brings together all parties involved in a project or function to review status and assure a common view of the work to be done.

Monitoring Group Results

- Establishes system or processes for measuring how well group is performing.
- Tracks performance on frequent basis.
- Keeps employees informed on how the group is doing overall.
- Identifies problems early and initiates corrective action.
- Follows up to ensure group problems are resolved.
- Focuses on group results and not just individual performance.
- Obtains additional resources or support when necessary for group to meet its goals.

MANAGING/SUPERVISING EMPLOYEES

Staffing

- Staffs the unit with the appropriate number of people necessary to accomplish the unit's objectives.
- Staffs the unit with the correct skills mix of people to position the unit for future success.
- Ensures that position requirements are clearly defined before interviewing candidates.
- Selects or promotes the best qualified individuals to successfully do the work required, and who are most likely to significantly contribute to the organization in the future.
- Makes the necessary staffing decisions when workload conditions change.

Defining Expectations

- Reaches an agreement with employees at the beginning of the review period on performance expectations.
- Establishes objectives that are understandable, challenging, specific, measurable, achievable, relevant, timebound, and trackable.
- Involves employees in goal setting by getting their ideas and input to gain their understanding of and commitment for the work to be accomplished.

- Ensures that each employee has a PMP form properly documenting objectives and performance factors.
- Ensures that goals and work plans are updated when required by significant internal or external change.

Feedback and Coaching

- Monitors behaviors and results achieved frequently to provide early detection of performance problems.
- Evaluates performance on an on-going basis by comparing the behaviors observed and results achieved with the agreed-to-performance standards.
- Personally, monitors performance outcomes; does not rely on "hearsay" evidence.
- Provides accurate performance feedback throughout the year.
- Provides prompt and accurate feedback after significant performance/events occur.
- Uses a variety of positive reinforcers such as praise, recognition, letters of commendation.
- Gives a special recognition for superior performance when it occurs.
- Discusses performance problems with employees when they first emerge and works with employees in developing action plans to correct problems.
- Sets follow-up dates to determine if planned actions were accomplished and if the performance problems were corrected.
- Acts as a resource person to employees to help them succeed in their jobs.

Performance Reviews

- Obtains input from employees on their overall performance before making final ratings.
- As appropriate, obtains input on employee performance from others before finalizing ratings.
- Fairly rates employee's performance, taking into consideration the agreed-to-performance standards, the actual behaviors and results achieved during the year, special considerations that may have influenced performance, and changes during the period.
- Completes PMP form accurately and in a timely manner and conducts a timely performance review discussion with each employee at least once a year.
- Develops and documents specific plans for improving employees' performance.
- Conducts interim review discussions with employees when appropriate.

Human Resources Development

- Ensures employees are properly trained to meet position expectations and provides on-the-job training as required.
- Places employees in situations which will challenge/develop their capabilities.
- Exposes employees to development opportunities to prepare them for future positions.
- Advises employees of job or training and development opportunities which are relevant to their long-term interests and objectives.
- Follows up after employees have attended training courses and reinforces/supports the use of skills learned.
- Discusses long-term interests and career objectives with employees.
- Provides support and encouragement to employees in achieving development and career objectives.

Leadership and Motivation

- Explains expectations to employees regarding quality of service and performance excellence
- Fosters an environment in which teamwork is practiced and valued.
- Creates an environment where employees feel free to, and are encouraged to, participate.
- Encourages the sharing of information among employees and other groups.
- Recognizes and reinforces teamwork behaviors such as sharing, cooperation, participation and maintaining good relationships.
- Creates and maintains an environment of equal opportunity for all people.

- Sets an example for employees, and others, to follow.
- Chooses most appropriate methods of leadership and motivation.
- Uses recognition and rewards to encourage employees to perform at their best.

Communication Link

- Informs employees about important things happening in the organization.
- Informs employees about changes before they are made.
- Gives employees a chance to share ideas and suggestions to be passed on to higher management.
- Informs employees about current University goals and strategies.
- Provides employees with opportunities to communicate directly with higher management when appropriate.
- Provides higher management with accurate information about what is going on at lower levels in the organization.

Appendix VII - Performance Improvement Plan (PIP) FAQs

1. **What is a Performance Improvement Plan (PIP)?**

   A Performance Improvement Plan (PIP) is a plan that aims to help employees who are not currently meeting job performance expectations. A PIP covers specific areas of performance deficiencies, identifies skills or training gaps, and sets clear expectations for an employee's future conduct. Objectives must be met within a certain timeframe, and failure to do so may result in employment actions up to and including termination.

   This plan should be constructed with the assistance of Employee and Labor Relations (ELR).

2. **When should a Performance Improvement Plan (PIP) be implemented?**

   PIPs should be implemented when an employee is not consistently meeting performance expectations or when an employee receives an overall rating below "Meets Standards" on their performance evaluation form.

3. **How long should a Performance Improvement Plan (PIP) last?**

   The PIP length should be between 3 to 6 months.

   The length of the PIP should be based on the ability to assess improvement in the employee's performance.

4. **How often must I meet with an employee on a Performance Improvement Plan (PIP)?**

   Supervisors must meet with an employee on a weekly or bi-weekly basis.

5. **Can an employee grieve a PIP?**

   Employees cannot typically grieve the contents of a PIP. However, employees can grieve disciplinary steps taken when a PIP is not successfully completed.

6. **What are the consequences for not successfully completing a PIP? Can a PIP lead to termination?**

   If employee's performance does not improve or worsens, the supervisor can pursue disciplinary action up to and including termination for cause in accordance with the USM policies on Separation – VII-1.22 and VII-1.23.

7. **What happens if the employee demonstrates the necessary improvement on the PIP?**

   If the employee's performance meets the expectations outlined in the PIP, then no further action is required.

Who you should contact if you need assistance:

For day-to-day questions, please contact your designated school/unit HR representative.

For help with the online portal, please contact the PMP Solution Center Monday through Friday from 8:00 a.m. – 5:00 p.m. April 1st through June 3rd at 410-706-7601 or email **PerformanceManagement@umaryland.edu.**

For technical issues, please contact the Help Desk weekdays (Monday-Friday) from 8 a.m. to 5:30 p.m. and on weekends (Saturday-Sunday) from 8:30 a.m. to 5:00 p.m. at **help@umaryland.edu** or 410-706-HELP (4357). For more information, please visit their website at https://www.umaryland.edu/helpdesk/.

For questions regarding the Performance Management Program, please contact your designated ELR representative or please contact the general ELR Department to be routed to the next available representative at **HRELR@umaryland.edu** or 410-706-7302.

Tools and available Resources:
Tools and resources are available on the HR-ELR website - UMB Performance Management Program.

Thank you for your participation in the Performance Management Program Process!

This document in its entirety is guidance. It is not intended to replace existing policies, procedures, practices, or MOUs.