

Exempt Performance Reviews Policy

Category: Human Resources

Approval: PVP

Responsibility: Associate Vice-President Human Resources

Date: June 23, 2008, Last Revised June 3, 2014

Policy Statement:

The performance review process is a formal communication which is an integral part of performance management and is tied to compensation. All exempt and management employees will have an annual review of their performance using the performance review system outlined in this policy. Annual compensation is tied to this review and the ratings received by employees.

Procedure

The performance review process is as follows:

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| July | The VP's will access the Presidents Mandate and Objectives posted on the intranet, outlining key objectives for the University, and from this develop a list of key objectives for their respective division. This is shared with each employee and will form the basis of objectives established for departments/programs and for individuals. |
| August | The Manager/Supervisor and the employee meet to discuss potential objectives/targets. Once agreed upon, they are entered into the Performance Planning document. Performance criteria are also established. A copy of the document is sent to the VP. |
| December | The Manager and the employee meet to do a review of progress to date and review if the targets are still appropriate. . Any changes are noted on the Checkpoint Meeting Form, with a copy to the Manager, the employee and the VP. |
| May | A performance review meeting is held between the supervisor and employee to confirm the achievement and setting of targets and goals. Also at this meeting the Manager and the employee reach agreement where possible, on the recommended ratings and comments, including the Learning/Development Plan. |
| June | The President and VP's will meet to review each recommendation and may require the Manager to provide additional information. Final ratings to be documented and shared with the employee after Vice-Presidential and Presidential review. A copy of the completed document is forwarded to Human Resources and placed on the employee's personnel file. |

Preparation by the Supervisor

The process is to assess the employee's performance, not judge his/her personality. Preparation should include:

- Gather all relevant documentation
- Refer to the job overview to review the major duties and responsibilities
- Review the objectives/goals which were set out at the beginning of the review period. Are they still meaningful? If the answer is no, what were the circumstances?
- Review critical incidents and other records of importance; consult the users of the employee's services to measure general satisfaction. These individuals could be either internal or external to the department.
- Consider the employee's performance for each of the applicable performance factors.
- Complete in draft the Performance Review document.
- Judge your own performance in relation to the employee - Did you provide necessary support/training? Have you provided frequent and constructive feedback?
- Make arrangements for the meeting to take place in an appropriate setting: private, with no interruptions.

Preparation by the employee

These discussions are meant as an opportunity to review, from the employee's perspective, their achievements and concerns as well as to identify where support is required from the supervisor. In order to prepare for the meeting, the employee should:

- Review the objectives/goals which were set out at the beginning of the review period. The objectives will most likely be contained in the previous Performance Review form.
- Complete in draft the Performance Review document. The worksheet is intended to prepare for the review meeting and to facilitate the discussion during the meeting.
- Consider your performance for each of the applicable 'performance factors' and assign your rating.
- Determine what you consider to be realistic goals/objectives for the next review period
- Identify what you consider to be your training requirements, what support you require from the supervisor, and what career plans you may have for the future.

Setting Goals

Specific goals and objectives will serve as the basis for the next performance review. The supervisor and the employee should refer to this document throughout the next review period to ensure that things remain on target and to identify problematic areas. Goals should be related to the objectives of both the university and the individual job and be identified jointly. The employee should have a clear understanding of what the goals are, any deadlines which exist, and how often the goals will be reviewed during the year.

Goals should be:

- In support of the university and departmental objectives
- Reasonable in number (3 to 5)
- Achievable
- An extension beyond or improvement to the normal routines of the position
- Flexible to be updated as circumstances and priorities change
- May include team goals
- Should also include personal development goals

Learning/Development Plans

Supervisors and employees should jointly identify learning/development needs which meet both the immediate and future needs of the department. Departments are encouraged to support and provide developmental opportunities for employees, whenever possible.

Rating Scale

The new performance rating scale is as follows:

- 5 Exceptional performance in all areas of the job requirements which is recognized throughout their unit or broadly throughout the University. Normally, an employee would not receive a rating of 5 in consecutive years. Reserved for truly exceptional performance.
- 4 Performance regularly exceeded the requirements of the job in one or more key areas.
- 3 Performance met the job requirements and employee was a solid contributor to the achievement of department and University goals.
- 2 Performance met some, but not all of the job requirements as outlined in the performance plan.
- 1 Performance was significantly below requirements in several important areas and improvements will be required or reassignment or termination will be considered. Ratings at this level are subject to progressive disciplinary action.

EXEMPT SYSTEM

Performance Measures

Consider to what degree individuals demonstrate desirable characteristics in following performance competency areas:

- **Core Capabilities** - the job description outlines the items referred to as Core Capabilities. Included in this topic are the identified responsibilities of the job tasks to be performed and the knowledge required to perform the activities.
- **Customer Service Orientation** - follows through on commitments to resolve client issues and needs in a timely manner, takes initiative to uncover underlying client issues and needs, identifies and communicates with those who can resolve customer issues in an effective and

timely manner, communicates client needs and trends to supervisor, anticipates and responds in a positive manner to the needs of internal and external clients.

- **Quality and Quantity of Work** - the volume of acceptable work produced in a timely and consistent manner, the accuracy and thoroughness of work completed and the ability to meet deadlines.
- **Decision Making and Judgment** - analyzes and solves problems, accountable and responsible for decisions taken, effective decision making, involves and consults others as required, flexible and ensures follow-up.
- **Organizational Ability** - plans out work and organizes its completion, ability to cope with a variety of activities and distractions, ability to establish priorities and deal with priority items first, ability to provide organized support to the department in dealing with meetings, projects reports, etc. with limited supervision.
- **Communication** - informs others of services and roles, effectiveness of staff and client messaging, listening ability, written and verbal performance, presentation and facilitation skills as required.
- **Professional Development** - remains current in work function, remains current in technology that can assist in delivering services to the department.
- **Special Assignments** - makes supervisor aware of their interests for university committees and projects and proactively makes themselves available to participate as appropriate.

Contact Officer:

Associate Vice-President Human Resources

Date for Next Review:

June 2019

Related Policies, Procedures & Guidelines

- a) Appendix A: Employee Performance Planning and Review Summary

Policies Superseded by This Policy:

- a) N/A

Appendix A

Employee Performance Planning and Review Summary

Employee Name		
Position		Department
Appraisal Period Covered:	From:	To:
Criteria for Evaluation	Rating	Comments/Rationale
Core Capabilities (List by duties)		
Customer Service Orientation		
Quality and Quantity of Work		
Decision Making and Judgment		
Organizational Ability		
Communication		
Professional Development		
Special Assignments		

Results from Previous Years Goals

Goals	Results
1.	
2.	
3.	
4.	
5.	

Rating based on results of goals:

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Planning New Goals	Performance Criteria
1.	
2.	

3.	
4.	
5.	

Employee's Strengths/ Accomplishments

Areas that Require Improvement

Learning/ Development Plan

Overall Rating and Comments:

Employee Comments:

I have read and discussed this appraisal with my supervisor.

Signature of Employee

Date

Signature of Supervisor

Date

Signature of Vice President

Date