



## **PERFORMANCE REVIEW & DEVELOPMENT PLAN GUIDE**

### **Administrative Staff & Managers and Technicians & Academic Counsellors**

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**A. Purpose & Outcomes**

OCAD U's Performance Review & Development Plan is an evaluative tool to be used for all administrative staff (OPSEU Unit 1 and exempt staff) and managers and all technicians and academic counsellors. It allows on an annual basis for each supervisor and employee to:

- Clarify and define areas of responsibility;
- Jointly set performance objectives for the next review period;
- Set measurable standards for performance;
- Review objectives and performance; and
- Identify and address developmental needs.

The plan is integrated with the University's scorecarding process, ensuring clear alignment with the strategic plan and annual objectives. Scorecards are established down to the manager-level and inform objective setting at support staff levels.

In accordance with the Accessibility for Ontarians with Disabilities Act (AODA), the accessibility needs of employees with disabilities, as well as individual

accommodation plans, must be taken into account at all stages of the performance review and development plan process.

In terms of potential outcomes of a performance review, high ratings (**significantly exceeds expectations**) will result in the recognition of extremely strong performance and lead to the identification of performance objectives or other assignments which may provide additional opportunities to obtain further skills and experience, as well as the establishment of development goals to continue the employee's professional/personal development and growth.

With moderate ratings (**fully meets expectations**), the supervisor and employee identify upcoming performance objectives and outline the ways in which job expectations and standards could be exceeded in future. Development goals that will support the employee to reach greater achievements should be established.

In the event of low ratings (**needs improvement**), the supervisor and employee should clearly identify areas where performance can be improved, review what support and assistance may be required in order to realize such improvements, and establish development goals stemming from that discussion. During the course of the following review period, particular attention should be placed on areas needing improvement, with ongoing communication between the supervisor and employee regarding progress made.

## **Frequency and Timing**

Performance reviews are conducted on an annual basis and should be completed by the immediate supervisor and submitted to Human Resources no later than **August 1** of each year.

All new employees undergo a performance review by the conclusion of their probationary term, and on an annual basis by August 1 thereafter. The supervisor may waive an annual performance review if it falls within three months of the probationary review.

## **Process**

### 1. Setting Performance Objectives and Development Goals for the Review Period

At the beginning of the cycle, the supervisor and employee meet to review the employee's position and key responsibilities and establish performance objectives and development goals for the review period.

#### **Performance Objectives:**

- Should establish between 3 and 5 objectives for a given year;
- Should be specific, measurable, and attainable within the time frame identified (multi-year objectives should be broken down into smaller

components);

- Should be reflective of the employee's role level;
- Should not be above and beyond the employee's current duties, but reflective of his/her responsibilities within the context of the department's goals and priorities for the upcoming year.
- For managers, the scorecard process is used to identify their annual objectives.

**Development Goals:**

In establishing new development goals, the supervisor and employee should consider:

- Areas of performance requiring improvement; particularly those with ratings of needs improvement;
- Training needs arising from the performance objectives set for the following review period, including situations where there are anticipated changes to responsibilities or technologies and where an employee may be assisted to gain the necessary skills and/or knowledge; and,
- Areas of personal interest for professional development and growth, as they relate to future potential opportunities at the university.

The development plan should identify specific and measurable goals with a recommended course of action. Such goals may include:

- Providing additional or more focused direction and guidance to enhance current performance;
- Providing specific training opportunities related to job responsibilities;
- Supporting enrolment in formal educational programs related to job responsibilities;
- Encouraging the reading of publications related to work performed;
- Supporting participation in professional organizations related to areas of responsibility; and/or,
- Delegating assignments to provide opportunities to acquire new skills.

**Throughout the year, employees should be provided with the necessary supervisory guidance, direction and feedback. Performance objectives should be periodically reviewed to ensure they remain valid and realistic and, if required, modified or removed.**

**In keeping with the scorecarding process, managers must provide quarterly status reports on their scorecard throughout the annual cycle.**

## 2. Preparing for the Performance Interview

In late May or early June the immediate supervisor should:

- a. Provide a copy of the Performance Review & Development Plan Guide and Form to the employee;

- b. Schedule a review meeting with the employee with a minimum of two weeks' notice; and
- c. Prepare for the interview.

Prior to the interview, the immediate supervisor and the employee should each complete the Performance Review form independently, and in doing so should endeavour not to draw final conclusions in advance of their discussion. For more detailed information on preparation for the performance interview, please refer to Appendix A: Performance Interview Preparation Guidelines for Supervisors and Employees.

### 3. Conducting the Performance Interview

The purpose of the interview is to promote increased communication and understanding between immediate supervisors and employees through discussion of the following:

- The accomplishment of performance objectives identified in the previous review, and any factors affecting their attainment;
- The degree to which development goals were met;
- Strengths and weaknesses related to the performance factors;
- The development of performance objectives for the next review period; and
- The establishment of new development goals for the next review period.

During the interview, the employee should be encouraged to participate fully through asking questions and providing comments. A performance interview is normally 45 to 90 minutes long. While both parties to the discussion should have the opportunity to comment on each item, prolonged discussions tend to reduce the effectiveness of the process.

a) Review of Achievement of Performance Objectives

On the Performance Review & Development Plan form, comments regarding the achievement of performance objectives should be concise, specific and, where possible, supported by details and dates. They should indicate:

- Whether the employee has met his/her objectives; and
- The degree to which achieving or not achieving these objectives reflects personal effort and ability and/or other factors or circumstances.

b) Review of Progress towards Development Goals

The supervisor and employee should review the development goals established for the last review period. The progress made towards these goals should be documented on the form, as well as brief comments on the effectiveness of such activities and any circumstances affecting their achievement.

c) Review of Performance Factors

The form defines eight Performance Factors relating to all positions, and an additional four factors for managers. In the event that a supervisor deems a factor not to apply, this should be noted on the form. The factors are:

<b>General Performance Factors</b>	<b>Additional Factors for Managers</b>
Advancement of OCAD Values	Strategic Leadership
Service Orientation	Decision-Making
Job Knowledge	Resource Management
Standard of Work	Relationship Building
Organization Skills	
Communication & Interpersonal Skills	
Adaptability & Innovation	
Supervision (where applicable)	

The form includes a 3-point rating scale to reflect the level of performance for each of the Performance Factors, and a not applicable option to indicate factors that are not relevant to job requirements. The rating choices are:

<b>Significantly Exceeds Expectations</b>	Performance consistently and significantly exceeds job expectations and standards
<b>Fully Meets Expectations</b>	Performance fully meets job expectations and standards
<b>Needs Improvement</b>	Performance needs improvement in specific important aspects of the job

<b>Not Applicable</b>	Factor is not applicable to job requirements
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#### 4. Completing and Filing the Documentation

##### a) Comments and Signature by Immediate Supervisor and Employee

Following the interview, the immediate supervisor should complete the Performance Review & Development Plan form, and include comments to support reasons for Significantly Exceeds Expectations and Needs Improvement ratings. Any significant concerns should be reviewed with Human Resources before presenting a copy to the employee. The employee shall be asked to sign to confirm receipt of the form and, in the event of disagreement regarding its content, may either note comments in the space provided or in the case of significant differences, attach a self-assessment form.

##### b) Approval Stages

In the case of an immediate supervisor being non-management, the signed form(s) is then sent to the managerial supervisor for approval and additional comments, if any, regarding the review.

All such approvals should take into account:

- Whether the review was conducted in a proper manner;
- The appropriateness of performance objectives, development goals, and related assessments; and
- The degree to which there is agreement between the supervisor and employee and any related comments.

The form(s) is then forwarded to Human Resources by no later than **August 1** for final sign off and to be kept on record in the employee's file.

## Performance Interview Preparation Guidelines for Supervisors and Employees

Approximately two months in advance of the annual performance review deadline of August 1, supervisors and employees should begin to prepare for the process by collecting information, reviewing all aspects of performance and making preliminary assessments. Final conclusions should not be reached until after the performance interview.

Listed below are some suggestions for consideration by both supervisors and employees when preparing to conduct the interview:

- Familiarize yourself with the Performance Review & Development Plan form and process.
- Review the job description and the major responsibilities of the position, noting any recent changes or updates needed.
- Revisit the performance objectives established at the beginning of the review cycle, and consider any circumstances that might have affected their achievement.
- Consider the department's priorities and objectives for the coming year, as they relate to the university's overall goals, and what individual performance objectives

might be appropriate for the next review period.

- Gather information relating to work conducted for the full review period (i.e. not just the most recent months) to be used in making an assessment of performance. This may include:
  - ✓ Collecting work samples and other data;
  - ✓ Checking the completion of activities; and
  - ✓ Re-reading previous performance reviews.

The supervisor is encouraged to solicit any information from other individuals who are in a position to assess the employee's effectiveness.

- Analyze information for each performance objective and performance factor:
  - ✓ Looking at results and comparing them to standards and expectations;
  - ✓ Considering effort expended as well as results achieved; and
  - ✓ Consider the context in which the work was performed and factors that may have affected achievement of goals.
- Prepare preliminary assessments, ratings, and supporting comments/details on each of the Performance Objectives and Performance Factors by completing the form in draft.
- Review the degree to which development goals were achieved, the effectiveness of such activities, and what goals might be appropriate for the next review period.

- Consider possible comments or questions the employee/supervisor may have, including whether their perception is expected to differ substantially from your own assessment.