



Performance Review & Planning

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# **Employee Toolkit**

The Performance Management System  
for Administrative & Professional, and Exempt Employees

HUMAN RESOURCES  
& ENVIRONMENT, HEALTH & SAFETY

Brock University

# PERFORMANCE REVIEW & PLANNING

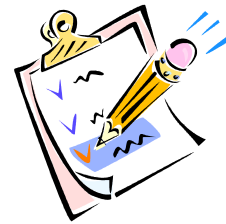
## Introduction

Brock University's Performance Review and Planning (PR&P) is an ongoing process designed to create a culture of continuous improvement in work performance and to assist in individual growth and development. It has been designed to support the University's current strategic and long-range planning process; ensuring individual goals are consistent with a department or unit's strategy.

## Objectives

The objectives of the PR&P process are to:

1. Encourage meaningful and on-going communication between employee and supervisor on work performance;
2. Recognize employee performance;
3. Establish agreed-upon performance goals and development plans;
4. Link individual goals to organizational goals (Department, Division/Faculty, University);
5. Identify skills and aptitudes for development;
6. Encourage employees to continually improve work performance;
7. Provide a record of job performance.



# **THE PERFORMANCE REVIEW AND PLANNING MODEL**

The Performance Review and Planning (PR&P) process has been developed using a three-prong approach supported with ongoing coaching and recommended quarterly reviews. This year the first step in the model begins with employee and supervisor setting future performance goals for the next 12-month period. Optional tools and worksheets will support on-going documentation of progress toward established goals. At the end of the 12-month period, employee and supervisor will meet to complete the second and third steps. The second step examines the past year's accomplishments and challenges. The final step is to create employee development plans to ensure the employee has the skills, knowledge and resources to successfully achieve future goals. This cycle will continue on an annual basis.

## **1**

### **FUTURE PERFORMANCE GOALS**

- Link individual responsibilities to department objectives and University goals
- Set SMART performance objectives
- Develop an Action Plan to support SMART performance objectives

## **2**

### **ACCOMPLISHMENTS MADE TOWARDS GOALS**

- Prepare for and participate in an effective performance review meeting
- Analyze and discuss performance
- Complete the PR&P Form

## **3**

### **DEVELOPMENT PLANS**

- Create a Development Plan for maintaining skills and setting future growth and/or career goals
- Consider past challenges and future goals
- Follow up on progress and results

# **THE PERFORMANCE REVIEW AND PLANNING (PR&P) FORM**

The Performance Review and Planning **(PR&P) Form** is a tool that will be used by both you and your supervisor throughout the year. It is divided into five sections:

- Section I:** Future Performance Goals
- Section II:** Annual Achievements
- Section III:** Employee Development Plan
- Section IV:** Employee Suggestions For Departmental Improvement
- Section V:** Signature and Review

## **Preparation Worksheets**

In conjunction with the PR&P Form, optional preparation worksheets have been created to assist both you and your supervisor to organize your thoughts, track progress and prepare for the PR&P meeting. The worksheets will be an important tool in reviewing past performance and planning for the future, and should be completed prior to the PR&P meeting. While the contents of the worksheets may assist you during the PR&P discussions, it is not necessary to forward these worksheets to Human Resources.

There are four main worksheets available on-line at [www.brocku.ca/hr/employment\\_info](http://www.brocku.ca/hr/employment_info):

- Worksheet #1:** Creating a Goal Statement
- Worksheet #2:** Status of Goals
- Worksheet #3:** Annual Achievements
- Worksheet #4:** Employee Development

## HOW THE PROCESS WORKS

### Year 1:

In year 1, the new PR&P process will focus initially on the setting of Future Performance Goals.

A PR&P Meeting will be held between you and your supervisor as soon as possible following this training session to determine what you plan to accomplish in the next 12 months. Together you will complete **Section I: Future Performance Goals**, listing the performance goals for the upcoming 12-month period (this time frame may be shorter in the first year of implementation, depending on the annual timeframe your Division has identified).

To assist you in the process, the following resources are available (see **[www.brocku.ca/hr/employment\\_info](http://www.brocku.ca/hr/employment_info)**): **Quick Tips** (Guide to Completing Your Annual Performance Review and Planning); **Creating A Goal Statement Worksheet #1**; and **SMART** Goal Materials in this **Employee Toolkit**.

Throughout the year, ongoing monitoring and tracking of performance goals will take place. The **Status of Goals Worksheet #2** has been developed to assist you in documenting your progress and to provide a tool for discussion when meeting with your supervisor periodically.

To help you monitor and track achievements, accomplishments and challenges throughout the year, we recommend using the **Annual Achievements Worksheet #3**.

**The Employee Development Worksheet #4** will help you think about past challenges and future goals when establishing an upcoming development plan.

Again, while the contents of the worksheets may assist you during the PR&P discussions, it is not necessary to forward these worksheets to Human Resources.

Your supervisor will arrange appropriate meeting time(s) with you to set goals, discuss your performance, update goals as needed and **complete the PR&P Form at the end of the 12 months**.

The completed PR&P Form is signed by both you and your supervisor, and forwarded to the Dean/Division Head for review and signature. The Office of the Dean/Division Head will forward the signed original to Human Resources and will return copies to you and your supervisor.

Year 2:

At the beginning of year 2, the annual cycle begins again with you and your supervisor defining future performance goals for the upcoming 12-month timeframe.

## PREPARATION



In preparation for the PR&P meeting, the employee and supervisor may find it useful to refer to the following documents or information:

- ✓ Employee's Key Tasks or Responsibilities
- ✓ Department/Faculty Goals and/or Strategic Plan
- ✓ The **PR&P Form**, **Quick Tips Form** and **Preparation Worksheets**, which are available on-line at [www.brocku.ca/hr/employment\\_info](http://www.brocku.ca/hr/employment_info).
- ✓ Supporting documentation including notes, feedback, comments received, as well as results from the University's 360-degree feedback program (if applicable).

# PR&P

## PREPARATION WORKSHEETS

### Worksheet #1 – Creating A Goal Statement

This worksheet has been developed to assist you in organizing your thoughts on possible performance goals, and will help you and your supervisor create goal statements consistent with your key responsibilities as well as the department's strategy.

This worksheet is recommended for completion of **Section I: Future Performance Goals** of the PR&P Form.

### Worksheet #2 – Status of Goals

This worksheet has been developed to assist you in tracking the progress of your goals, and summarize your accomplishments, achievements and challenges, which may also be useful in identifying possible future development needs. It may be used to track progress on a quarterly basis, to help you review your goals every 3, 6, 9 and 12 months. A separate worksheet should be completed for each Performance Goal.

This worksheet is recommended for completion of **Section II – Annual Achievements** of the PR&P Form.

### Worksheet #3 – Annual Achievements

This worksheet has been developed to assist you in identifying other related activities, tasks or assignments that you completed throughout the year in addition to your performance goals. It will help you identify accomplishments and any feedback, praise or recognition received.

This worksheet is recommended for completion of **Section II – Annual Achievements** of the PR&P Form.



#### **Worksheet #4 – Employee Development**

This worksheet has been developed to assist you in creating a Development Plan for maintaining skills sets, and setting future growth and/or career goals. It will encourage you to examine challenges you experienced over the past year; to identify what support and training will be needed to achieve future performance goals; and to maintain currency in your skill sets.

This worksheet will be used to complete **Section III – Employee Development Plan** of the PR&P Form.

# HOW TO SET PERFORMANCE GOALS

Well-constructed performance goals clearly define the desired end results of performance and describe how success will be measured. They build a foundation for effective coaching, performance review and development planning.



## What Is a Goal?

A goal is defined as a destination, or overall achievement that you wish to accomplish. Goals are can be either short-term or long-term achievements that require many steps.

For most students of Brock University, their goal is to complete a program of study and receive their degree or certificate. In order to accomplish this long-term goal, they would need to set short-term goals to successfully complete “x” number of courses towards their degree or certificate each year.

A marathon runner with the goal to successfully complete a 42k race, would first start with a number of smaller goals. The short-term goals may include successfully completing a 10k race and 20k race in order to train for the 42k race.

## What is the Relationship Between Your Goals and the Department and University’s Goals?

The University evaluates its success by relating results achieved to the broad goals and strategies that are set by senior executives at the start of each year. Your department’s success is based on its contribution to the achievement of these strategies. Each employee’s performance is assessed by its impact on the achievement of department objectives.

## What is a Performance Goal?

A Performance Goal is a goal that focuses on a person’s performance in relation to their job description, key duties and responsibilities.

## **What is a Development Goal?**

A Development Goal is a goal that focuses on a person's development of skills, knowledge, and behaviours. Development goals may include learning new computer skills, expanding knowledge in a specific knowledge area, developing leadership skills, etc.

## **How Do You Measure Results?**

How will you measure results? What will tell you whether performance was met, exceeded or fell short of expectations? Creating SMART goals is the first step in determining how you will measure your results. Quantitative goals are measured or measurable by quantity. Qualitative goals are concerned with or depending on quality.

## **How Do You Create Goals That Are Challenging, Yet Achievable?**

The rule of thumb when developing goals is – not too big, not too small. Goals should be within the scope of an employee's job description and skill level. Based on an employee's assumptions, the objectives must be attainable within the time frame given.



# HOW TO WRITE SMART GOALS

## What is a SMART Goal?

A SMART goal is a goal that is specific, measurable, attainable, relevant and time-framed. It answers the questions:

### 1. What action do I need to take?

What is the specific action to be taken?



### 2. To what extent?

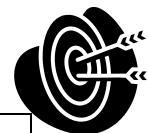
How often? How much? When? With whom?

### 3. For what results?

What impact will this have in relation to our department's objectives and the University's long-range planning goals?

<b>Specific</b>	A SMART goal describes an observable action or behaviour, using action verbs. It answers the question, "What has to be done?"
<b>Measurable</b>	It defines the end result in qualitative or quantitative terms. For example: quantities, frequencies, error rates, etc.
<b>Attainable</b>	The employee can be expected to succeed provided they have the required skills and resources.
<b>Relevant</b>	The goal is relevant to the individual's responsibilities, department goals and University strategic goals.
<b>Timeframe</b>	There are specific target dates, frequencies and deadlines.

# SMART GOAL ASSESSMENT TOOL



*Instructions: Use the following list of questions to determine if the SMART performance goals you have developed are **specific, measurable, attainable, relevant, and time-framed**.*

## **SPECIFIC**

**What makes this particular goal specific?**

- Clearly stated
- Describing a function to be performed
- Uses action verbs to describe what has to be done

## **MEASURABLE**

**How is this goal measurable?**

- It is quantifiable
- Limits and parameters are defined
- Results are observable

## **ATTAINABLE**

**How is the goal within reach?**

- There is the required degree of experience
- The necessary skills and knowledge are present
- The resources to carry the work out are available

## **RELEVANT**

**How do you know this goal is relevant to the work to be done?**

- It has a clear link to university and department goals
- It is clearly linked to your key job tasks
- It will help you achieve development objectives/career plans

## **TIMEFRAME**

**What timeframes have been set for the completion of this goal?**

- It has a clearly defined completion date
- There is a clearly defined duration to the goal
- The frequency with which work must be performed is clearly defined

## **DEVELOPING AN ACTION PLAN TO SUPPORT YOUR GOALS**

Some SMART goals clearly define everything that needs to be done to achieve desired results. Others may be more complex, requiring completion of an action plan, project schedule or some other document that sets out a series of steps to be completed over a period of time.

An Action Plan identifies:

- the steps required to achieve a goal, including completion of related tasks, training, and other activities
- who needs to be involved in the plan to help achieve the goal (i.e. coworkers, supervisor, other departments, etc.)
- timeframes for completion of each step
- support and resources required to facilitate completion of each step
- follow-up needed to ensure the plan is progressing as required (i.e., coaching, meetings, etc.)



## WHAT THE PR&P MEETING WILL LOOK LIKE

A week or two prior to your PR&P meeting, your supervisor/manager will arrange with you a mutually agreed upon meeting time and location. The meeting should be held in a quiet area where you won't be disturbed.

Both you and your supervisor are asked to prepare for the meeting by jotting down ideas on the PR&P form and preparation worksheets, which are available at [www.brocku.ca/hr/employment\\_info](http://www.brocku.ca/hr/employment_info).

The PR&P meeting should take approximately 90 minutes to complete. It is intended to be a dialogue and discussion where both you and your supervisor will exchange ideas, share feedback and together outline future goals, review accomplishments and challenges, create development plans and discuss possible departmental improvements.

After completing Sections I – III, you will complete **Section IV: Employee Suggestions for Departmental Improvement**. You and your supervisor will then complete **Section V: Signature and Review**, signing the form and adding any comments that you may wish to make.

The final copy is forwarded to the Dean / Division Head for review and signature, and a copy is returned to both you and your supervisor.

## RESPONDING TO CHALLENGES & CHANGES

During the 12-month period that elapses from the time you set your performance goals until your annual PR&P meeting, many unforeseen challenges can occur. These challenges may directly impact whether or not you can achieve your goals.

### Unforeseen challenges may include:

- a change in the University's strategic plan or direction
- shifting priorities for the department
- a change in job responsibilities and duties
- resources are no longer available
- you are unable to complete goals due to the impact of others



To handle obstacles that may come your way, it is a useful exercise to list your assumptions when creating your performance goals.

### Your assumptions may include:

- your department will remain fully staffed
- you will have the resources required to perform effectively
- your main job responsibilities and duties will remain unchanged
- department priorities will remain unchanged
- you will have the budget required to complete your goals



## How to Respond to Challenges and Changes

### Quarterly Follow-Up:

When unforeseen challenges occur or the assumptions on which you based your performance goals have changed, you may need to revise your goals. Quarterly follow-up meetings are encouraged between you and your supervisor to ensure that your goals are still appropriate. Goals may need to be revised and the changes documented. The **Status of Goals Worksheet #2** has been designed to help you identify any factors that may affect your ability to accomplish your goals so that you can review these changes with your supervisor.

