

Performance Management:

A GUIDE FOR MANAGING & EVALUATING PERFORMANCE

USG Human Resources Mission, Vision, and Valuesⁱ

Mission: As a strategic partner with the University System of Georgia (USG), Georgia Tech Human Resources will develop and deliver innovative, efficient, cost-effective human resources programs and services designed to support the mission of the USG of Georgia. Through collaborative efforts, we will succeed by increasing individual and institutional effectiveness; and by earning the respect and trust of those who govern us, support us, and do business with us.

Vision: Georgia Tech Human Resources collaborates actively with Institute leadership to maximize organizational performance and engage world-class faculty and staff in advancing the USG's mission.

Values: Accountability, Collaboration, Communication, Diversity, Efficiency, Fairness, Innovation, Integrity, Respect, Support, and Trust.

Areas of Specialization: Strategic orientation, discretion and business ethics, conflict management and resolution, employee relations, administration, communication and education regarding USG Benefits programs. Dual focus: balancing needs of the system vs. needs of employees, and individual situations, team orientation, performance management. HR Consultation: designing, developing, and delivering learning programs and events, workforce and succession planning, organizational climate analysis, facilitation of organizational change, and dedication to continuous improvement.

USG Core Values: Every member of the USG community is required to adhere to the USG Statement of Core Values – Integrity, Excellence, Accountability, and Respect – that form and guide the daily work of the organization.

1. **Integrity** – We will be honest, fair, impartial, and unbiased in our dealings both with and on behalf of the USG.
2. **Excellence** – We will perform our duties to foster a culture of excellence and high quality in everything we do.
3. **Accountability** – We firmly believe that education in the form of scholarship, research, teaching, service, and developing others is a public trust. We will live up to this trust through safeguarding our resources and being good stewards of the human, intellectual, physical, and fiscal resources given to our care.
4. **Respect** – We recognize the inherent dignity and rights of every person, and will do our utmost to fulfill our resulting responsibility to treat each person with fairness, compassion, and decency.

Performance Management Philosophyⁱⁱ

Georgia Tech strives to provide an environment where all employees understand the impact their contributions have on the achievement of Institute goals and are provided the opportunity for ongoing professional growth. We reinforce this belief through the performance management cycle that culminates in a review of annual performance.

Performance Management Cycleⁱⁱⁱ

The Georgia Tech **Performance Management Cycle** consist of four phases:

1. **Plan:** The planning phase is the foundation of the entire process. In this phase, individual goals and objectives are set for the performance period. Goals that are S.M.A.R.T. (Specific, Measurable, Achievable, Relevant, and Time Based) increase employee motivation and commitment to goal attainment, leading to greater success.
2. **Manage:** Regular communication is critical throughout the Performance Management Cycle. Through formal and informal conversations, both parties are kept abreast of progress toward the successful completion of goals and expectations. These discussions are also good opportunities to provide timely feedback and coaching. It is important to keep track of key performance highlights and challenges year-round to ensure they are captured and recognized during formal and informal review sessions with employees.
3. **Review:** The employee and his or her manager have a discussion to review annual performance as a whole at least once a year. If S.M.A.R.T. goals have been set (planning phase) and ongoing communication/feedback has taken place (managing phase), both parties should have a productive performance review discussion.
4. **Reward:** Employees may receive an increase to their annual base pay in accordance with their overall performance rating.

Performance Roles and Responsibilities

Managers: Build trusting relationships with employees, create opportunities for feedback sessions throughout the year, meet with employees at least quarterly (though monthly is recommended) to assess progress and revise goals if necessary, have or obtain firsthand knowledge of employee contributions to make a fair and equitable evaluation decision, have an annual performance review conversation with each employee on the past year's performance, complete performance reviews on time, establish goals and expectations with each employee in order to plan for success, align individual goals with those of the department/unit, provide timely and constructive feedback and ongoing coaching and development opportunities, work with employees to create professional development plans, provide opportunities to support professional development plans.

Employees: Seek continuous feedback from manager, provide self-assessment feedback to manager in preparation for annual performance review conversation, participate in annual performance review conversation regarding past performance, establish performance and career development goals to discuss with the manager, document accomplishments and contributions throughout the year, determine areas for improvement and potential development opportunities, be prepared for the one-on-one performance review meeting, work with manager to set goals and to understand performance expectations, work with manager to set target dates for goal completion and inform manager of any problems or concerns along the way, continue to seek constructive feedback throughout the year, participate in meetings with manager at least quarterly to assess progress and revise plan as necessary.

HR Representatives, HR Contacts, HR Business Partners and Performance Consultants: Assist in creating an environment that promotes effective performance management, champion performance management best practices, encourage managers to establish and build trusting relationships with their employees, assist in communicating performance management information and important dates, provide guidance and coaching to employees and managers throughout the process, ensure every eligible classified employee and manager has a performance discussion (at least once a year) and that the discussion is documented.

Performance Evaluation Competency Definitions^{iv}

Decision Making: Able to analyze situations fully and accurately and reach productive decisions. Consults appropriate parties when necessary and identifies the key concerns and/or issues that need to be addressed in order to make the best decision possible.

Effective Communications: Able to express ideas in a clear, concise, and effective manner, whether speaking or in writing. Uses correct grammar and sentence structure in communications. Is a good listener, even when differing viewpoints are expressed. Openly shares information and keeps all relevant parties updated.

Interpersonal Relationships: Builds and maintains effective working relationships with others – both inside and outside the organization. Takes a positive and productive approach to resolving any conflicts which may arise. Exemplifies commitment to the USG core value of respect-treating everyone with fairness, compassion, and dignity.

Job Knowledge: Demonstrates the professional, administrative, supervisor, and/or technical knowledge required to perform the job successfully. Continuously strives to further improve job knowledge. Serve as a reliable resource for other employees regarding areas of expertise.

Producing Results: Assignments/projects are consistently completed in a timely manner with the desired level of quality of quantity. Follows up on the outcome of work efforts to ensure desired results.

Service Excellence: Makes excellent customer service a top priority and constantly seeks to improve customer service. Is responsive to changes in what customers want and need. Delivers on promises made to customers and follows up appropriately.

Honesty & Integrity: Adheres to the highest ethical and professional standards of conduct. Exemplifies commitment to the USG core values of integrity, excellence, and accountability.

Performance Evaluation Competency Definitions^v (cont.)

Additional Managerial Competencies (if applicable):

Cultivating Workforce Diversity: Ability to understand, appreciate, and use the unique contributions of associates in various cultures, nationalities, ethnic backgrounds, genders, ages, points of view, etc.

Leadership: Ability to work with a group to set its objectives and agenda, generate allegiance to those objectives, and guide and motivate achievement. Articulates the end results needed and allows people to exercise initiative and discretion without micromanaging. Enforces standards/rules fairly and consistently and leads with courage.

Staff and Career Development: Addresses learning, training, and career development needs of individuals, teams, or organization. Works with employees to establish job and career development goals. Provides accurate, timely feedback including annual performance evaluation.

General Competency Matrix				
Exceptional ↓	Strong ↓	Satisfactory ↓	Needs Improvement ↓	Unsatisfactory ↓
<i>Consistently Exceeds</i>	<i>Consistently Meets/ Occasionally Exceeds</i>	<i>Consistently Meets</i>	<i>Inconsistently Meets</i>	<i>Consistently Fails to Meet</i>
Consistently demonstrates advanced competence in achieving performance objectives	Consistently demonstrates competence in achieving performance objectives and sometimes exceeds	Consistently demonstrates competence in achieving performance objectives	Inconsistently demonstrates competence in achieving performance objectives	Consistently fails to demonstrate competence in achieving performance objectives
Consistently demonstrates advanced competence in subject matter expertise	Consistently demonstrates competence in subject matter expertise and sometimes exceeds	Consistently demonstrates competence in subject matter expertise	Inconsistently demonstrates competence in subject matter expertise	Consistently fails to demonstrate competence in subject matter expertise
Consistently demonstrates advanced competence in strategic agility	Consistently demonstrates competence in strategic agility and sometimes demonstrates advanced strategic agility	Consistently demonstrates competence in strategic agility	Inconsistently demonstrates competence in strategic agility	Consistently fails to demonstrate competence in strategic agility
Consistently demonstrates advanced competence in working independently	Consistently demonstrates competence in working independently and sometimes demonstrates advanced competence	Consistently demonstrates competence in working independently	Inconsistently demonstrates competence in working independently	Consistently fails to demonstrate competence in working independently

General Competency Matrix (cont.)

Exceptional ↓	Strong ↓	Satisfactory ↓	Needs Improvement ↓	Unsatisfactory ↓
<i>Consistently Exceeds</i>	<i>Consistently Meets/ Occasionally Exceeds</i>	<i>Consistently Meets</i>	<i>Inconsistently Meets</i>	<i>Consistently Fails to Meet</i>
Consistently demonstrates advanced competence in partnering with colleagues, counterparts, leadership, and/or other departments	Consistently demonstrates competence in partnering with colleagues, counterparts, leadership, and/or other departments and sometimes demonstrates advanced competence	Consistently demonstrates competence in partnering with colleagues, counterparts, leadership, and/or other departments	Inconsistently demonstrates competence in partnering with colleagues, counterparts, leadership, and/or other departments	Consistently fails to demonstrate competence in partnering with colleagues, counterparts, leadership and/or other departments
Consistently demonstrates advance competence in completing assigned tasks and always takes on additional projects or tasks	Consistently demonstrates competence in completing assigned tasks and sometimes takes on additional projects or tasks	Consistently demonstrates competence in completing assigned tasks	Inconsistently demonstrates competence in completing assigned tasks	Consistently fails to demonstrate competence in completing assigned tasks
Consistently demonstrates advanced competence in the ability to adhere to policies, processes, and procedures and identifies and implements opportunities for improvement	Consistently demonstrates competence in the ability to adhere to policies, processes, and procedures and sometimes goes above and beyond to ensure compliance	Consistently demonstrates competence in the ability to adhere to policies, processes, and procedures	Inconsistently demonstrates competence in the ability to adhere to policies, processes, and procedures	Consistently fails to demonstrate competence in adhering to policies, processes, and procedures, resulting in progressive disciplinary actions
Consistently demonstrates advanced competence in seeking opportunities for professional development, proactively and independently	Consistently demonstrates competence in seeking opportunities for professional development and sometimes demonstrates advanced competence by proactively and independently seeking opportunities	Consistently demonstrates competence in seeking opportunities for professional development	Inconsistently demonstrates competence in the ability to seek opportunities for professional development	Consistently fails to demonstrate competence in the ability to seek opportunities for professional development

Performance Evaluation Competency Matrix					
	Exceptional ↓	Strong ↓	Satisfactory ↓	Needs Improvement ↓	Unsatisfactory ↓
	<i>Consistently Exceeds</i>	<i>Consistently Meets/ Occasionally Exceeds</i>	<i>Consistently Meets</i>	<i>Inconsistently Meets</i>	<i>Consistently Fails to Meet</i>
Decision Making	Consistently demonstrates advanced competence in decision making abilities	Consistently demonstrates competence in decision making abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in decision making abilities	Inconsistently demonstrates competence in decision making abilities	Consistently fails to demonstrate competence in decision making abilities
Effective Communications	Consistently demonstrates advanced competence in effective communications abilities	Consistently demonstrates competence in effective communication abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in effective communications abilities	Inconsistently demonstrates competence in effective communications abilities	Consistently fails to demonstrate competence in effective communications abilities
Interpersonal Relationships	Consistently demonstrates advanced competence in interpersonal relationship abilities	Consistently demonstrates competence in interpersonal relationship abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in interpersonal relationship abilities	Inconsistently demonstrates competence in interpersonal relationship abilities	Consistently fails to demonstrate competence in interpersonal relationship abilities

Performance Evaluation Competency Matrix (cont.)

	Exceptional ↓	Strong ↓	Satisfactory ↓	Needs Improvement ↓	Unsatisfactory ↓
	<i>Consistently Exceeds</i>	<i>Consistently Meets/ Occasionally Exceeds</i>	<i>Consistently Meets</i>	<i>Inconsistently Meets</i>	<i>Consistently Fails to Meet</i>
Job Knowledge	Consistently demonstrates advanced competence in job knowledge abilities	Consistently demonstrates competence in job knowledge abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in job knowledge abilities	Inconsistently demonstrates competence in job knowledge abilities	Consistently fails to demonstrate competence in job knowledge abilities
Producing Results	Consistently demonstrates advanced competence in producing results abilities	Consistently demonstrates competence in producing results abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in producing results abilities	Inconsistently demonstrates competence in producing results abilities	Consistently fails to demonstrate competence in producing results abilities
Service Excellence	Consistently demonstrates advanced competence in service excellence abilities	Consistently demonstrates competence in service excellence abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in service excellence abilities	Inconsistently demonstrates competence in service excellence abilities	Consistently fails to demonstrate competence in service excellence abilities
Honesty & Integrity	Consistently demonstrates advanced competence in honesty and integrity	Consistently demonstrates competence in honesty and integrity abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in honesty and integrity abilities	Inconsistently fails to demonstrate competence in honesty and integrity abilities	Consistently fails to demonstrate competence in honesty and integrity abilities

Performance Evaluation Competency Matrix: Additional Managerial Competencies (if applicable):					
	Exceptional ↓	Strong ↓	Satisfactory ↓	Needs Improvement ↓	Unsatisfactory ↓
	<i>Consistently Exceeds</i>	<i>Consistently Meets/ Occasionally Exceeds</i>	<i>Consistently Meets</i>	<i>Inconsistently Meets</i>	<i>Consistently Fails to Meet</i>
Cultivating Workforce Diversity	Consistently demonstrates advanced competence in cultivating workforce diversity abilities	Consistently demonstrates competence in cultivating workforce diversity abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in cultivating workforce diversity abilities	Inconsistently demonstrates competence in cultivating workforce diversity abilities	Consistently fails to demonstrate competence in cultivating workforce diversity abilities
Leadership	Consistently demonstrates advanced competence in leadership abilities	Consistently demonstrates competence in leadership abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in leadership abilities	Inconsistently demonstrates competence in leadership abilities	Consistently fails to demonstrate competence in leadership abilities
Staff and Career Development	Consistently demonstrates advanced competence in staff and career development abilities	Consistently demonstrates competence in leadership abilities and sometimes demonstrates advanced abilities	Consistently demonstrates competence in staff and career development abilities	Inconsistently demonstrates competence in staff and career development	Consistently fails to demonstrate competence in staff and career development abilities

Sample Performance Appraisal

Employee Name: George P. Burdell	PeopleSoft/Techworks ID: 0123456	
Job Title: Administrative Project Specialist	Unit: Administration	
Reviewed By: J. Doe Smith	Date of Review: January 8, 2016	
Review Period: 2015	From: 1/4/2015	To: 12/31/2015

Assign a rating for each goal/performance indicator and enter comments as appropriate in the space provided or in the word "Comments" section at the end of this document. For any items rated as "Exceptional" or "Unsatisfactory", you must include comments specifying the justification for the rating.

Performance Goals and/or Job Responsibilities	Actual Results and Comments	Ratings	
Identify 2-4 goals and/or primary job responsibilities.	Evaluate results against mutually established performance goals and job responsibilities.	Select one rating for each performance goal or job responsibility.	
<p>Goal/Job Responsibility:</p> <p>Conduct four research projects in 2016, one per quarter, due by the last business day of each quarter (i.e. Q1 project due 3/31/16, Q2 project due 6/30/16, Q3 project due 9/30/16, Q4 project due 12/29/16). A preliminary project summary should be submitted to me by the 15th day of the first month in each quarter (i.e. 1/15/16, 4/15/16, 7/15/16, and 10/15/16).</p> <p>Each research project should be completed with the intent of publication and is expected to outline the following subject matter; project charter with timelines submitted by, preliminary assessment, equipment and/or chemicals utilized, unforeseen variables, and a thorough summary of actual findings/results in standard APA style.</p>	<p>George was able to complete this goal and completed all projects by the assigned deadlines. Each research project was thoroughly researched and documented.</p> <p>George displayed a significant amount of dedication to achieving overall results however, there were a couple of areas of opportunity identified including; missing a few milestones in each project by his projected timelines and not identifying potential variables for chemical and/or equipment usage. These are two areas that George is expected to work towards enhancing to further stretch his project capability.</p> <p>Despite the identified opportunities, George demonstrated strong abilities in this area and continued focus will assist him with further enhancing his research abilities and performance trajectory.</p>	<input type="checkbox"/>	Exceptional
		<input checked="" type="checkbox"/>	Strong
		<input type="checkbox"/>	Satisfactory
		<input type="checkbox"/>	Needs Improvement
		<input type="checkbox"/>	Unsatisfactory

Performance Goals and/or Job Responsibilities	Actual Results and Comments	Ratings	
Identify 2-4 goals and/or primary job responsibilities.	Evaluate results against mutually established performance goals and job responsibilities.	Select one rating for each performance goal or job responsibility.	
<p>Goal/Job Responsibility:</p> <p>Process and submit p-card statements and travel/expense reports by the 15 business day of the month. These assignments will be measured by the scheduled deadlines, the level of accuracy, and the amount of errors. Performance will be measured by the following:</p> <ul style="list-style-type: none"> -Submit monthly before the 15th = Exceptional -Submit bimonthly before the 15th = Strong -Submit monthly by the 15th = Satisfactory -Submit monthly after the 15th = Needs Improvement -Failure to submit = Unsatisfactory 	<p>George repeatedly struggled with meeting this objective. George submitted the first monthly p-card statement and travel and expense report before the deadline however, the remaining reports were submitted late, after the 15th. George also failed to check his BoA statements timely resulting in three separate purchases going into default and three p-card violations in March, April, and May. George was counseled about this issue and made some improvements with meeting deadlines however, he continued to struggle with accuracy and errors in the third and fourth quarter of the year. George has been provided additional training on p-card processing and has committed to improving in this area.</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/>	<p>Exceptional</p> <p>Strong</p> <p>Satisfactory</p> <p>Needs Improvement</p> <p>Unsatisfactory</p>

Performance Goals and/or Job Responsibilities	Actual Results and Comments	Ratings	
Identify 2-4 goals and/or primary job responsibilities.	Evaluate results against mutually established performance goals and job responsibilities.	Select one rating for each performance goal or job responsibility.	
<p>Goal/Job Responsibility:</p> <p>Oversee and administer carpentry projects on to assigned personnel a weekly basis. Monitor, inspect and evaluate all completed projects (i.e. building, installation, repair and maintenance) within 48 hours and submit system reports within 5 business days of completion.</p>	<p>George successfully accomplished the goal by exceeding all proposed deadlines.</p> <p>George also displayed advanced ability in forecasting supply and equipment needs prior to project start dates which ensured employees had the necessary tools and resources available to complete projects and avoid delays.</p>	<input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Exceptional</p> <p>Strong</p> <p>Satisfactory</p> <p>Needs Improvement</p> <p>Unsatisfactory</p>

Performance Goals and/or Job Responsibilities	Actual Results and Comments	Ratings	
Identify 2-4 goals and/or primary job responsibilities.	Evaluate results against mutually established performance goals and job responsibilities.	Select one rating for each performance goal or job responsibility.	
<p>Goal/Job Responsibility:</p> <p>Develop, implement, and execute an 18 month department strategy that focuses on improving productivity, employee engagement, professional development, and retention. This assignment should be submitted to me for review and approval by March 4, 2016.</p>	<p>George demonstrated competence in completing this task. The assignment was submit by the scheduled deadline and he provided a solid strategy to improve productivity, employee engagement, professional development, and retention, as requested.</p>	<input type="checkbox"/> <input type="checkbox"/> <input checked="" type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<p>Exceptional</p> <hr/> <p>Strong</p> <hr/> <p>Satisfactory</p> <hr/> <p>Needs Improvement</p> <hr/> <p>Unsatisfactory</p>

Competencies					
	Exceptional	Strong	Satisfactory	Needs Improvement	Unsatisfactory
Decision Making		X			
Effective Communications		X			
Interpersonal Relationships		X			
Job Knowledge		X			
Producing Results			X		
Service Excellence	X				
Honesty & Integrity	X				
Attendance & Punctuality	X				
Additional Managerial Competencies (if applicable):					
	Exceptional	Strong	Satisfactory	Needs Improvement	Unsatisfactory
Cultivating Workforce Diversity		X			
Leadership		X			
Staff and Career Development			X		

Overall Rating				
Exceptional	X Strong	Satisfactory	Needs Improvement	Unsatisfactory
Outstanding performance that considerably and consistently exceeds expectations	Good, solid performance. Fully meets expectations and may , on occasion, exceed expectations in this area.	Performance meets the standard requirements or expectations of the position.	May partially meet performance expectations but needs improvement. Steps to improve performance must be clearly detailed in the action plan below.	Performance is well below an acceptable level. A formal Performance Improvement Plan must be developed.
Comments on Ratings				
<p>Goal 3: Exceptional</p> <p>George is a very detail oriented individual and his ability to successfully plan and administer construction projects has been a valuable asset to the department which resulted in departmental recognition. Two employee were nominated for employee of the month in Campus Services for their great work. Without George's leadership these assignments may not have been accomplished timely and efficiently.</p>				
Action Plan				
<p>In 2016, I would recommend that George works towards obtaining a Project Management Certificate and/or PMP Certification to assist with further enhancing his project management skill set. George is expected to research this certification and submit a formal request to me within sixty days of this evaluation.</p>				
Employee Comments				
<p>Thank you for the feedback, I love my job!</p>				
Empty space for additional comments				

Performance Evaluation Checklist	
Manager:	
<input type="checkbox"/>	Review prior year goals: <ul style="list-style-type: none"> • Ask employee to provide a summary of accomplishments • Collect feedback from peers and/or internal clients
<input type="checkbox"/>	Rate goals based on actual results: <ul style="list-style-type: none"> • Outline specific measurable results
<input type="checkbox"/>	Determine overall performance rating
<input type="checkbox"/>	Schedule time to meet with the employee <ul style="list-style-type: none"> • Allow time for employee questions
<input type="checkbox"/>	Provide balanced feedback: <ul style="list-style-type: none"> • Identify strengths, weaknesses, and any performance gaps
<input type="checkbox"/>	Review resources to enhance performance (i.e. training and development opportunities)
<input type="checkbox"/>	Discuss upcoming goals
<input type="checkbox"/>	Sign evaluation form
<input type="checkbox"/>	Submit signed evaluation form to department HR Rep/Contact or Business Partner

Performance Evaluation Checklist (cont.)	
Employee:	
<input type="checkbox"/>	Review prior year goals
<input type="checkbox"/>	Prepare a list of accomplishments
<input type="checkbox"/>	Identify strengths, weakness, and/or any performance gaps
<input type="checkbox"/>	Describe any limitations that prevented you from accomplishing goals
<input type="checkbox"/>	Gather any feedback and/or recognition received during the performance cycle
<input type="checkbox"/>	List completed training and development opportunities
<input type="checkbox"/>	Provide this list to your manager prior to the performance evaluation meeting
<input type="checkbox"/>	Identify career aspirations and potential development goals for the upcoming performance cycle

Performance Evaluation Checklist (cont.)	
HR Rep/Contact/Business Partner:	
<input type="checkbox"/>	Communicate timelines and deadlines to managers
<input type="checkbox"/>	Notify managers of available Workplace Learning and Professional Development resources
<input type="checkbox"/>	Collect/review all completed forms
<input type="checkbox"/>	Send original signed forms to OHR Records (Mail Code: 0435)
<input type="checkbox"/>	Send departmental performance evaluation ratings spreadsheet to HR Talent Management: adrienne.richardson@ohr.gatech.edu

Workplace Learning and Professional Development Courses^{vi}

JANUARY 2017

1/24/2017 | [Conflict Management: An Exercise in Enriching Relationships](#)

1/25/2017 | [The Four Ethical Corners: How to Make and Defend Ethical Decisions in the Workplace](#)

1/27/2017 | [The Partner Method: Managing the Performance Management Process](#)

FEBRUARY 2017

2/3/2017 | [Giving and Receiving Feedback](#)

2/10/2017 | [Seizing Your Career The Ga Tech Way](#)

2/21/2017 | [Conflict Management: An Exercise in Enriching Relationships](#)

2/23/2017 | [Fierce Accountability](#)

2/28/2017 | [The Partner Method: Managing the Performance Management Process](#)

Additional Workplace Learning and Development Training Courses: <http://www.ohr.gatech.edu/learning>

Additional Performance Management Resources

Forms: <http://www.ohr.gatech.edu/performance>

- **Annual Evaluation Form**
Print and fill out the Annual Evaluation Form, and then submit a printed copy with signatures to your HR Representative.
- **Goal Setting Form**
Print and fill out the Goal Setting Form, and then submit a printed copy with signatures to your HR Representative.
- **Review Form for Probationary Period**
Use this form to evaluate employees at the conclusion of their first six months of employment.
- **Self-Assessment Form**
Use this form to provide to your manager to facilitate more constructive feedback and discussion around individual performance and departmental goals as well as next steps in career development

Timeline: The Georgia Tech performance cycle is aligned with the calendar year. All classified staff employees should have a recent review reflecting 2016 performance on file by March 31, 2017.

Timeline	
February 15	Employee completes Self-Assessment Form and forwards copy to their manager
February 28	Manager disseminates overall goals and objectives to their team
March 1	Manager completes an Annual Evaluation for each direct report and schedules one-on-one conversation
March 31	Manager completes Annual Evaluation discussions with direct reports and obtains a signed copy of the Annual Evaluation for the employee's personnel file

	Manager completes one-on-one conversation with each direct report outlining individual performance objectives for the year
Forms and Questions	
www.ohr.gatech.edu/performance	Visit for performance forms or to learn more about your role in the performance management process and those of your manager and HR representative
performance@ohr.gatech.edu	Contact for questions and requests for additional information

Performance Management FAQ's: Classified Staff

What is performance management? Performance management is the process of managing, coaching, developing, and evaluating employees in order to cultivate relationships and create plans for future success.

What are the components of performance management? Goal setting, continuous coaching and feedback, and a formal review are all components of the performance management cycle. At the beginning of the cycle, employees and managers meet to set goals for the coming year. Throughout the year, dialogue should occur between managers and employees to determine progress. At the end of the year, managers and employees meet to have a formal review of achievements and areas of opportunity based on the goals set at the beginning of the year.

What is the purpose of conducting a performance review? The performance review provides a formal documented account of each Georgia Tech employee's performance during the review cycle. It is an essential component of the performance management process.

How does performance management link to career planning? Performance management is the foundation of career planning. Through this process, employees work towards goals that support the needs of the business and their professional development. The purpose is to build relationships and facilitate conversations between employees and managers throughout the year with regards to performance goals, career goals, and career planning.

Are classified employees required to receive a performance review? Yes. Every non-probationary Georgia Tech classified employee should receive a performance review.

How do I know if I am considered a professional, administrative, or classified employee? Classified employees shall consist of professional and administrative personnel who are not identified as Academic Faculty, Research Faculty, Academic Professionals, or Post Doc Fellows.

Do probationary employees receive a performance review? Probationary employees are reviewed after successful completion of their probationary period using the designated probationary review form. For guidance on evaluating probationary employees, please refer to OHR Policy 4.6, Performance Review Following Probationary Period. The policy can be found online at: <http://www.policylibrary.gatech.edu/performance-review-following-probationary-period>.

Do Academic Faculty, Research Faculty, Academic Professionals and Post Doc Fellows have a performance management process? Academic Faculty, Research Faculty, Academic Professionals, or Post Doc Fellows are annually reviewed by the appropriate designee. They are not required to use the forms or processes that are designated for classified employees.

Performance Management FAQ's: Classified Staff (cont.)

Who do I contact for help?

Questions concerning the process should first be directed to your unit/department's HR Representative, HR Contact or HR Business Partner. You may also contact the [Performance and Talent Management Team](#) or call 404-385-1539.

What are goals?

They are assignments, projects, and/or responsibilities for a particular year. They could be routine job responsibilities as well as special projects and/or assignments.

What is the difference between Performance and Career Development goals?

Performance goals help to define what is expected of you in your current position in relation to the department and/or unit's overall goals. Career development goals outline opportunities for professional development and/or career growth. Together these goals help us manage and assess the work to be done as well as identify opportunities for ongoing professional growth and development at Georgia Tech.

Are Career Development goals required?

No, but they are strongly recommended since they are critical in helping to further enhance our skills, knowledge, and abilities.

What is the deadline for entering goals?

Goals must be discussed and documented by March 31, 2017.

Are goals required for all classified employees? Goals are strongly recommended for all regular classified employees as part of the performance review process.

Are goals required for new hires? All regular classified employees who begin employment during the goal setting cycle should have goals for the year. Probationary employees would still receive the usual six month evaluation, but would also get the standard evaluation at the completion of the performance review cycle. Employees who are hired after the goal setting period would only receive the probationary evaluation at the end of six months.

Performance Management FAQ's: Classified Staff (cont.)

What is the recommended number of goals for an employee? The recommended range is 2-4 goals.

What if one employee is being rated on 2 goals and another employee is being rated on 4 goals? The number of goals may vary based on the position. However we encourage consistency in the type and number of goals for those employees whose job is similar in nature within that department/unit. Additionally, an individual's day to day job responsibilities and duties may be addressed in other sections of the review.

What if I disagree with a goal my manager set for me?

We encourage both parties to collaborate with one another to determine agreed upon goals that are aligned with achieving the department or unit objectives. Conversations between the manager and employee should occur to determine the reasons for the gaps in communication and edits can be made to the goal, if appropriate. If there continues to be a high level of disagreement, please consult your unit's HR Representative, HR Contact, HR Business Partner, or Performance Consultant.

Can employees have the same or similar goals?

Yes. There may be situations where a group of employees with the same job title, responsibilities, duties, etc. have the same or similar goals.

How do I set goals for someone on a Performance Improvement Plan?

Yearly goals should still be discussed for this employee. Although the employee is on a Performance Improvement Plan and expected to achieve results within a specified timeline, new goals should still be implemented for the upcoming performance cycle.

What if I have more than one supervisor?

Supervisors should collaborate with one another to set goals with the employee and to provide feedback.

Performance Management FAQ's: Classified Staff (cont.)

What are the competencies?

All classified staff will be rated on the following competencies:

Decision Making	Able to analyze situations fully and accurately and reach productive decisions. Consults appropriate parties when necessary and identifies the key concerns and/or issues that need to be addressed in order to make the best decision possible.
Effective Communications	Able to express ideas in a clear, concise, and effective manner, whether speaking or in writing. Uses correct grammar and sentence structure in communications. Is a good listener, even when differing viewpoints are expressed. Openly shares information and keeps all relevant parties updated.
Honesty & Integrity	Adheres to the highest ethical and professional standards of conduct. Exemplifies commitment to the USG core values of integrity, excellence, and accountability.
Interpersonal Relationships	Builds and maintains effective working relationships with others- both internal and outside the organization. Takes a positive and productive approach to resolving any conflicts which may arise. Exemplifies commitment to the USG core value of respect- treating everyone with fairness, compassion, and dignity.
Job Knowledge	Demonstrates the professional, administrative, supervisory, and/or technical knowledge required to perform the job successfully. Continuously strives to further improve job knowledge. Serves as a reliable resource for other employees regarding areas of expertise.

Producing Results	Assignments/projects are consistently completed in a timely manner with the desired level of quality and quantity. Follows up on the outcome of work efforts to ensure desired results.
Service Excellence	Makes excellent customer service a top priority and constantly seeks to improve customer service. Is responsive to changes in what customers want and need. Delivers on promises made to customers and follows up appropriately.

Performance Management FAQ's: Classified Staff (cont.)

All classified staff managers/supervisors will also be rated on the following three competencies:

Cultivating Workplace Diversity	Ability to understand, appreciate, and use the unique contributions of associates in various cultures, nationalities, ethnic backgrounds, genders, ages, points of view, etc.
Leadership	Ability to work with a group to set its objectives and agenda, generate allegiance to those objectives, and guide and motivate their achievement. Articulates the end results needed and allows people to exercise initiative and discretion without micromanaging. Enforces standards/rules fairly and consistently and leads with courage.
Staff & Career Development	Addresses learning, training, and career development needs of individuals, teams, or organization. Works with employees to establish job and career development goals. Provides accurate, timely feedback including annual performance evaluation.

How do we rate competencies? Like performance goals, competencies are rated on a five point scale (Exceptional, Strong, Satisfactory, Needs Development, and Unsatisfactory) with the exception of Honesty/Integrity which will be rated as Meets or Fails to Meet. Supervisors/Managers determine whether or not employees demonstrate competencies through the review of overall performance, performance goals, customer/client feedback, and employee input. SMART performance and career development goals are excellent examples of how you demonstrate particular competencies.

As a manager, how do I manage performance throughout the year? Performance goals are discussed during the goal setting phase of the process. At the end of the review period, results will be compared to the expected outcome for each goal, project, and/or responsibility. Therefore, during the year, it's important to capture specific information and examples of how the employee met or did not meet each expected goal, project, and/or responsibility. Feedback sessions

throughout the year are necessary to ensure that expectations are being managed appropriately, that any opportunities can be addressed, and that there are no surprises at the end of the year.

As an employee, how do I keep track of my performance throughout the year? Performance goals are discussed during the goal setting phase of the process. At the end of the review period, results will be compared to the expected outcome for each goal, project, and/or responsibility. During the year, it's important to keep track of accomplishments and progress towards goal completion. Meet with your manager regularly to ensure you are meeting expectations and that you are addressing any obstacles along the way. Think about the core competencies and specific examples of how you displayed them throughout the year. You'll be ready for your performance review meeting if you prepare this information in advance.

Performance Management FAQ's: Classified Staff (cont.)

Why is ongoing feedback important? Managers and employees should engage in ongoing dialogue throughout the year to ensure expectations are being managed appropriately and that there are no surprises at the end of the year. Goals can also be modified or updated during the year. Discussing progress and providing feedback is critical as it helps to reduce confusion and missed goals. It's a great time to discuss any obstacles that may arise and what guidance or resources may be needed.

How will goals and competencies be rated? A five point scale (Exceptional, Strong, Satisfactory, Needs Development, and Unsatisfactory) will be used to evaluate goals and competencies.

What if there's been a supervisor or manager change during the performance period? To complete the review, it is a best practice to consult the previous supervisor or manager. If that's not possible, then you should consult the supervisor or manager's manager to get his/her view and input.

What if an employee's performance rating is "Needs Development" or "Unsatisfactory"? It's important to consult your HR Representative, HR Contact, HR Business Partner, or Employee Relations Consultant for guidance. A Performance Improvement Plan (PIP) may be necessary. A PIP is used to help supervisors and employees address and resolve performance issues. The PIP communicates the performance discrepancies, when an improved level of performance needs to be achieved, and specific action steps that will help the employee meet performance expectations.

What are some best practices for completing reviews?

- Schedule a dedicated time for the performance review conversation, allowing ample time for the appraisal to be completed
- Choose a location that is free from interruptions and distractions
- Review notes and other documentation you have compiled throughout the year concerning the employee's performance
- Have the employee complete a self-assessment (available at BLANK) and review it prior to preparing the final review

- Provide the employee with a draft copy of the completed performance review prior to the actual review conversation
- Ensure constructive two-way communication during the review conversation (listening attentively and encouraging dialogue)
- Schedule a performance planning follow up meeting after the review conversation to collectively establish goals for the current calendar year and ensure the employee has the opportunity to obtain necessary clarification.

Performance Management FAQ's: Classified Staff (cont.)

What if I don't agree with my review? It's important to first meet with your manager and ask for clarification. You should be provided with examples of the differences between expected and actual performance. It's important to work with your manager on a development plan (which is not the same as a PIP and is generally informal) to improve your performance. You may also talk to your HR Representative, HR Contact, HR Business Partner, or Employee Relations Consultant if you need additional support.

Do I have to sign my review? While you are not required to sign your review, signing it acknowledges that you and your manager met and discussed your performance for the year. You may not agree with all of the content, but your signature acknowledges that you met with your manager and discussed your review. There is a place for employee comments on the review as well.

Performance Management FAQ's: Faculty

Who should be reviewed? All members of the Academic and Research Faculty, including but not limited to full-time, part-time, regular, temporary, retired but working, and postdocs.

Who should do the review? The direct supervisor, school chair, and/or dean are responsible for ensuring that all faculty are reviewed, depending on the unit. For example, the Scheller College of Business does not have schools, thus the dean is responsible for ensuring the annual performance evaluations are complete.

When should the annual reviews be completed? All annual reviews should be completed at least once a year and no later than March 31 of the following year. It is strongly recommended that faculty who teach only one semester per year be reviewed at the end of the semester in which they taught, following the release of the course evaluations.

If a faculty member only teaches in the spring, should they have an annual review? Yes, all part-time faculty members should have an annual review. If they are not appointed on an annual basis, then the evaluation should occur at the end of the semester in which they taught. The review should include a discussion of their teaching evaluations. Faculty Affairs provides a [part-time faculty evaluation template](#) that may be used.

What should the annual review of a faculty member contain? The annual evaluation should address all dimensions of the Faculty role, although weights assigned may vary across disciplines and even within a discipline, depending on the job assignment of the individual and on the needs of the Unit. In evaluating a Faculty member's performance, careful consideration should be given to the quality of the individual's contributions in instruction (classroom-related and individual supervision), research or other creative activities, and service (to students, the academic community, the Institute, the discipline, and the external community). If there are issues with the faculty member's performance, these should be clearly addressed in the written evaluation and discussed with the faculty member.

On what criteria should a school chair be evaluated? In addition to the expectations outlined by the dean and the criteria in the [Faculty Handbook section 3.3.10](#), each school chair is responsible for overseeing and ensuring quality assessment of student learning outcomes for all academic programs offered within the school; meeting all reporting requirements as outlined by the Office of Assessment; ensuring that all faculty and staff comply with mandated trainings and disclosure protocols as outlined by federal, state, and Georgia Tech policies and procedures (i.e. conflict of interest, ethics, sexual violence awareness, vacation and sick reporting, etc.); and verifying the completion of an annual written evaluation for all faculty and staff in their school (all full, part-time, and temporary employees).

Performance Management FAQ's: Faculty (cont.)

If a faculty member was terminated or resigned, do they need an annual review? If the faculty member is no longer employed during the review period (February/March), then they do not need an annual evaluation; however, if there is an issue with the employee, best practices suggest that the issue should be documented in the faculty member's file.

If a faculty member retired, do they need an annual review? If the faculty member is no longer employed during the review period (February/March) or if all of the retirement paperwork has been submitted and retirement is imminent, then the retired/retiring faculty member does not need a review; however, if there is an issue with the employee, best practices suggest that the issue should be documented in the faculty member's file.

If a faculty member is on Leave of Absence, do they need an annual review? If the Leave of absence is a paid leave of absence then yes the faculty member should receive an annual evaluation. If the Leave of Absence is unpaid, then no they will not need a review.

If a faculty member is going through the critical review, promotion, and/or tenure process, do they need an annual review? Yes, they are two different processes and should be completed independently.

If a faculty member is going through periodic peer review, do they need an annual review? Yes, they are two different processes and should be completed independently.

If a faculty member started in the previous fall, do they need an annual review? All new faculty members need an annual performance review, if they started prior to October 1. If their appointment began October 1 or after of the review year, they do not need an annual performance review (unless they were involved in teaching a class (credit or non-credit)).

Performance Management FAQ's: Faculty (cont.)

If a faculty member was promoted or changed positions, do they need an annual review? Even if a faculty member was promoted or changed positions, they should receive an annual review. If the faculty member was in a different unit prior to October 1 of the previous year, the annual review may be waived by the previous assuming the change in position represented satisfactory performance and the new unit is completing a review.

If the supervisor or person who was supposed to do the evaluation has changed positions or left Georgia Tech, is that a reason for not giving a review? No, either the new supervisor or the former supervisor's supervisor should perform the annual evaluation.

How do I give an annual performance evaluation? The Office of Human Resources website contains resources related to best practices in [performance evaluations](#).

How are Academic and Research Faculty defined? Georgia Tech has two types of Faculty. These include 1) Academic Faculty, and 2) Research Faculty. See Faculty Handbook for more information about the Academic and Research Faculty: http://policylibrary.gatech.edu/faculty_handbook.

Membership in the **Academic Faculty** of Georgia Tech is defined as those for whom an essential part of their job responsibility is enhancing, leading, developing, and delivering undergraduate, graduate, and professional degree programs. It is understood that Academic Faculty members are also often significantly involved in leading, developing, and delivering research. Membership in the Academic Faculty shall be determined solely on the basis of the position held within the Institute. Titles included shall be consistent with Board of Regents policies for faculty membership and limited to positions with direct involvement in meeting student academic needs. *The Office of Faculty Affairs within the Office of the Vice Provost for Graduate Education and Faculty Development handles appointment and reappointment of Academic Faculty.*

Membership in the **Research Faculty** of Georgia Tech is defined as those whose primary job responsibility involves leading, developing, and delivering the research, extension, and technology transfer programs of the Institute. Membership in the Research Faculty shall be determined solely on the basis of the position held within the Institute. Titles included shall be consistent with Board of Regents policies for faculty membership. *Research Faculty Affairs within the Office of the Executive Vice President for Research handles the appointment and reappointment of Research Faculty.*

Performance Management Policy- Classified Staff

Performance Management Policy No: 4.5

Reason for Policy: The purpose of an effective performance management system is for employees to have a clear understanding of the work expected from them, to receive ongoing feedback regarding how they are performing relative to expectations, to distribute rewards accordingly, to identify development opportunities, and to address performance that does not meet expectations. A comprehensive performance management system empowers employees to have greater input to their personal career progression and will enable managers to better identify, recognize, and reward individuals based upon an agreed set of criteria.

Policy Statement: Georgia Tech strives to provide an environment where all employees understand the impact their contributions have on the achievement of Institute goals and are provided the opportunity for ongoing personal growth. One way we can accomplish this goal is through a strong performance based management program that culminates in an annual performance review. The performance management process is continuous as we plan, manage, review, and reward performance.

Scope: Entities Affected by This Policy: All classified employees at the Georgia Institute of Technology should be aware of this policy.

Who Should Read This Policy? All classified employees at the Georgia Institute of Technology should be aware of this policy. Contacts

Policy Terms:

Performance Goals: Help to define what is expected of you in your current position in relation to the department and/or unit's overall goals.

Career Development Goals: Outline opportunities for professional development and/or career growth

Competencies: Competencies are the key capabilities, characteristics, and behaviors that all Georgia Tech employees need to develop and demonstrate in order to drive superior work performance.

Procedures: The Georgia Tech Performance Management Process consists of a four-phase cycle: planning, managing, reviewing, and rewarding performance.

The [planning phase](#) is the foundation of the entire Performance Management process. In this phase, individual goals and objectives are set for the performance period. Goals that are SMART (specific, measurable, achievable, relevant, and time based) increase employee motivation and commitment to goal attainment, leading to greater performance and productivity.

Performance Management Policy- Classified Staff (cont.)

Regular communication between the manager and employee is critical during the [managing phase](#) of the performance management cycle. Through formal and informal conversations, both parties are kept abreast of progress towards the successful completion of goals and expectations. These discussions also enable the manager to provide timely feedback and coaching as the year unfolds. Because the performance cycle spans several months, it is important for managers and employees to keep track of key performance highlights and challenges that occur during the year. These notes will help immensely when it's time to prepare the annual review.

At the conclusion of the evaluation cycle, the manager meets with the employee to conduct the annual performance [review](#). If SMART goals have been set (planning phase) and ongoing communication/feedback has taken place (managing phase), the overall outcome of the annual review should come as no surprise to the employee.

When merit increases are available, employees may receive an increase to their annual base pay as a reward for meritorious performance. It is important to remember that performance increases should be differentiated between employees based upon their overall performance ratings and, in general, top performers should receive higher pay increases.

Additional resources are available on the Human Resources website at www.ohr.gatech.edu/performance.

The University System of Georgia prohibits employees grieving performance reviews (refer to the University System of Georgia's Grievance Policy for more details).

Performance Evaluation Policy- Faculty

BOR: 8.3.5 Evaluation of Personnel

8.3.5.1 Faculty

Each institution shall establish definite and stated criteria, consistent with Regents' policies and the statutes of the institution, against which the performance of each faculty member will be evaluated. The evaluation shall occur at least annually and shall follow stated procedures as prescribed by each institution. Each institution, as part of its evaluative procedures, will utilize a written system of faculty evaluations by students, with the improvement of teaching effectiveness as the main focus of these student evaluations.

The evaluation procedures may also utilize a written system of peer evaluations, with emphasis placed on the faculty member's professional development. In those cases in which a faculty member's primary responsibilities do not include teaching, the evaluation should focus on excellence in those areas (e.g., research, administration) where the individual's major responsibilities lie. Institutional policies and procedures shall ensure that each faculty member will receive a written report of each evaluation and that the results of the evaluation will be reflected in the faculty member's annual salary recommendations. Institutions will ensure that the individuals responsible for conducting performance evaluations are appropriately trained to carry out such evaluations (BoR Minutes, 1979-80, p. 50; 1983-84, p. 36; May, 1996, p. 52).

Each institution shall conduct in-depth pre-tenure reviews of all faculty in their third year of progress toward tenure. The criteria established for promotion and tenure, emphasizing excellence in teaching, shall be used as the focus for these reviews. The institution shall develop pre-tenure review policies, as well as any subsequent revisions (BoR Minutes, April 1996, p. 39-47; May 1996, p. 52; February 2007).

Georgia Tech Faculty Handbook: 3.1.2 Faculty Salaries and Evaluations

Merit Increases

Merit increases for full-time Faculty shall be based on an evaluation of job assignment and overall productivity. All dimensions of the Faculty role shall be considered, although weights assigned may vary across disciplines and even within a discipline, depending on the job assignment of the individual and on the needs of the Unit. In evaluating a Faculty member's performance, careful consideration will be given to the quality of the individual's contributions in instruction (classroom-related and individual supervision), research or other creative activities, and service (to students, the academic community, the Institute, the discipline, and the external community).

Performance Evaluation Policy- Faculty (cont.)**Annual Reviews**[Board of Regents Policy Manual, Section 8.3.5](#)

Annually, each Faculty member shall receive a written performance evaluation from their Unit Head. In addition, the Faculty member will discuss this review with the Unit Head and will sign a statement to the effect that the Faculty member has received the written review. The Faculty member will have the opportunity to respond, in writing, to the evaluation and to receive a written response from the supervisor to the comments of the Faculty member. Both the Faculty member's comments and the response will then become part of the record. The Institute will ensure that the individuals responsible for conducting performance evaluations are appropriately trained to carry out such evaluations. The evaluation procedures may also utilize a written system of peer evaluations, with emphasis placed on the Faculty member's professional development.

Sources:

ⁱ USG Human Resources Mission, Vision, and Values

ⁱⁱ Georgia Tech Performance & Talent Management: Enabling Effectiveness and Developing Talent

ⁱⁱⁱ Georgia Tech Performance & Talent Management: Enabling Effectiveness and Developing Talent

^{iv} Georgia Tech Performance Appraisal Record

^v Georgia Tech Performance Appraisal Record

^{vi} Workplace Learning and Professional Development