HR Design DRAFT Recommendations
Performance Management Work Team
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Work Team

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Scope

Individual and organizational performance depends largely on the relationship between the supervisor and the individual employee. Performance management includes ensuring that:

1. employees understand their jobs and have reasonable performance expectations;
2. employees have a “line of sight” between their work and the organization’s mission;
3. they receive frequent and timely feedback and coaching; and
4. performance deficiencies are addressed promptly and effectively through training, coaching and corrective action if necessary.

Performance management is a continual process, not something that occurs only annually. Effective performance management will be a key to ensuring that design efforts in areas like compensation are successfully supported and implemented. This team will also evaluate discipline, dismissal and appeal rights. By assessing current processes in all UW employment categories and recommending the best options, this work team will ensure UW-Madison has implemented the most effective performance management strategies.

Performance Management Definitions

Performance management is a continual process of establishing relevant and reasonable expectations, measuring outcomes and providing appropriate follow through in the form of coaching, training, reward, and/or discipline. A primary purpose of performance management is to create a climate and environment for employee success.

Employee is anyone designated as a UW Employee by the Office of Human Resources (OHR). For the purposes of our recommendations, faculty review/evaluations and the discipline/dismissal process will continue to be governed by Faculty Policies and Procedures (FPP), and thus are considered outside the team scope.

Supervisor refers to any employee who directs the work of other employees (regardless of employee type) and makes decisions or recommendations about a combination of the following: hiring, performance evaluations, compensation adjustments, promotions, or discipline. This term does include faculty, limited, classified and academic staff, but for the purpose of our recommendations, student workers, graduate assistants, and employees-in-training will need to be determined on a case-by-case basis.

Work rules are sets of rules which regulate the personal conduct of UW Employees. Standard work rules apply to classified staff but not specifically to academic staff, faculty, and student hourly employees.

Summary of Current State

During employment with the University of Wisconsin-Madison, employee performance is to be reviewed and evaluated on an annual basis and documented within the individual’s personnel file. Supervisors are encouraged
to establish clearly defined goals and expectations with their employees (especially upon hire and throughout the probationary period). There is one campus-wide evaluation form for classified staff that is edited to fit the needs of each specific unit. In addition, some units have developed their own evaluations and performance management processes for unclassified staff. The evaluation process instructs both supervisor and employee to complete a form and schedule a meeting to discuss it. Performance evaluation topics include (for example) goals/objectives, performance expectations, results, development goals, and rating scales. If opportunities for improvement are noted or expectations are not being met, this evaluation provides the basis to help remediate deficiencies with training or support. If concerns are not resolved after proper support and opportunities to improve are provided, the supervisor may need to consider corrective action.

Supervisor styles on campus are highly variable, depending on training, division and past experience. Some supervisors micromanage employees; others provide autonomy and flexibility. As a result, supervisor styles are sometimes incompatible with employee needs.

Other aspects of campus life related to the current state of campus performance management include:

**Onboarding:** Currently, there are no consistent instructions to meet and discuss job expectations upon hire, throughout the probationary period, or upon annual review. In addition, a position description is presented to a new employee, but may not be consistently updated. Standard work rules apply to classified staff but not specifically to academic staff, faculty, and student hourly or limited-term employees. In some academic units, leadership positions (chairs, directors, etc.) rotate, which can be problematic for consistent performance management practices.

**Training:** Currently the Office of Human Resource Development (OHRD) manages many of the UW-Madison training opportunities. This includes but is not limited to performance management. New classified supervisors are required to take the Principles of Supervision and Management training, which consists of 11 half-day workshops, only one of which is about performance management. Additional performance-management-related training opportunities are available on campus (see Current Strengths section), but are neither well known nor well-utilized. Opportunities for external training and tuition reimbursement for job related classes/workshops vary by unit.

**Discipline and Appeals:** Academic staff discipline and appeals are in accordance with ASPP Chapters 3 and 6, dealing with nonrenewal, discipline and dismissal. Disciplinary measures for academic staff are based on precedent and consultation with Legal Services and Academic Personnel Office. The appeals process for academic staff is a four-step process (supervisor, dean/director, Academic Staff Appeals Committee, and provost).

Discipline for classified staff is a progressive five-step process following the seven steps of just cause. The seven steps of just cause to be considered when enforcing and appealing disciplinary actions are notice, reasonable rule or expectation, investigation, fair investigation, proof, equal treatment, and penalty. Classified staff appeals happen through a structured three-step grievance/hearing process (employing unit, classified HR and Wisconsin Employee Relations Commission).

Egregious misconduct may result in immediate termination of both employment categories.

### Current Strengths

The decentralized nature of the current system at UW has led to a range of performance management practices. Some units have performance management processes in place and clearly communicate expectations. In addition, many UW employees meet and/or exceed responsibilities and expectations of their positions even without clearly stated expectations. They seem to have an intuitive sense of what is expected and needed in their role. On the same note, some supervisors on campus are particularly skilled in their role and through training, past experience, mentoring, or intuition they have learned to be model supervisors.

Supervisor training is available through a variety of resources on campus and is required for all new classified staff supervisors. In addition, some divisions/colleges offer incentives and targeted training opportunities for professional development. The following current training opportunities are viewed as strengths:

- Principles of Supervision and Management (PSM) through Office of Human Resource Development
- Fully Prepared to Manage (https://www.ohrd.wisc.edu/home/)
• Fully Prepared to Lead (https://www.ohrd.wisc.edu/home/)
• Fully Prepared to Engage (https://www.ohrd.wisc.edu/home/)
• The Kauffman Administrative Development Program (http://www.ohr.wisc.edu/kauffman/kauffman-welcome.html)
• Leadership Institute and other Learning Communities through the Office of Equity and Diversity (http://www.library.wisc.edu/EDVRC/leadershipinstitute.html)
• Wisconsin Idea Seminar through the UW Graduate School (http://www.grad.wisc.edu/wis/) (currently restricted to faculty and academic staff)
• Academic Staff and Council for Non-Represented Classified Staff (CNCS) professional development grants and workshops. (http://acstaff.wisc.edu/academic-staff-professional-development-grants.htm and http://www.cnsc.wisc.edu/training.aspx)

UW-Madison has a variety of resources available to assist employees in performance management concerns. These resources, which provide training and counseling, include, but are not limited to, the Office of Human Resources (OHR), Employee Assistance Office (EAO), Ombuds Office, governance organizations, and labor unions.

In addition, corrective action may be used to address performance problems. The strengths of the discipline and appeals process are as follows:

1. Corrective action/discipline is an opportunity for the supervisor to address needed changes in behaviors or work performance.
2. Corrective action/discipline is an opportunity for the employee to address and correct behaviors and performance issues and, if needed, request/receive training, professional development, accommodation and/or FMLA advising.
3. Work rules for classified staff are well established.
4. Due process and just cause are consistently utilized.

Current Issues

Based on campus feedback and input through the HR Design efforts, many employees do not receive annual performance evaluations. Currently, campus lacks accountability for consistent performance management, thus making it more difficult to address performance issues. As a result, some employees have not been reviewed in a decade (or more) and many supervisors and employees see little value in the evaluation process. In many cases, employee performance is evaluated only if there are compensation opportunities or if there are performance issues. In the latter instance, the sole intent of the review is to provide documentation of unacceptable performance or conduct. Not conducting routine reviews has led to frustration regarding performance expectations, communication and feedback, training opportunities, employee development support, and disciplinary action. Poorly conducted or nonexistent performance evaluations also comprise a substantial number of complaints fielded by the UW-Madison Ombuds Office. Complaints range from a failure to conduct evaluations in a timely fashion to hostile, demeaning, or meaningless reviews. Many employees desire feedback and want to have a better sense of how they are doing in their job.

Consistent requirements for conducting performance reviews are dependent on an employee’s classification. For classified staff, supervisor wage increases are tied to annual completion of performance evaluations for each employee he/she supervises. Conversely, academic staff policy requires annual performance evaluations in a manner appropriate to the work setting and responsibilities, leaving the method and regularity of the review to the discretion of the unit. According to ASPP, if an annual review is not conducted and documented, it is assumed that the academic staff member’s performance has been “at least satisfactory.”

The lack of a campus-wide, usable performance evaluation process addressing overarching competencies makes performance evaluation an even greater challenge. In situations where the corrective action, discipline and appeals processes are invoked, the lack of a consistent process for all employees is an added challenge.
Other issues related to the current state of campus performance management include:

**Updating position descriptions:** The current reclassification process is confusing for employees. There is a misconception that employees should not regularly update their position description unless they are applying for a reclassification. The concern is that overall change of duties from the last reclassification will be ignored in light of incremental update, thus disqualifying the employee from the requested reclassification.

**Training and Resources:** Training is not required for all supervisors. Through campus feedback, new academic staff and faculty supervisors or, in some cases, existing supervisors do not take full advantage of the opportunities available. The only required training in performance management is for new classified supervisors and is limited to one half-day session during an 11-week training workshop series. A lack of training in the discipline process leads to inconsistent application of expectations and work rules. Some supervisors struggle to provide adequate mentoring, leadership, support, or advocacy for employees and do not treat all of their employees equitably. While resources are available to address such situations, these resources are underutilized. This is particularly true in cases where individuals in supervisory positions are not suited to such a role.

Also:
- Current work rules are not applied uniformly across all job categories.
- Two-way communication between employees and supervisors in setting job expectations is inconsistent.
- No centralized system exists to track performance management.

**Executive Summary of the Recommendation**

Currently, the performance management processes are varied across campus. While it is important to allow flexibility within units and across various employee categories, a consistent, transparent, and useful performance management process needs to be created and implemented for all employees at UW.

- Effective performance management engages employees and supervisors in a performance partnership to align with unit, department, and campus goals to promote consistency and motivation to succeed in a fair and transparent manner. We recommend enhanced resources and training for all supervisors in an effort to improve respect, transparency, trust, and communication between supervisors and employees.

Initially a robust performance management toolkit will be developed that would be available online (and in paper format, if needed) to all UW staff, accompanied by in-depth training for all supervisors. Some features of the toolkit will include performance evaluation forms that can be customized to the job, procedures and processes for performance management, and advice on how to manage and promote performance in employees. Training in performance management is essential and will be required for all current and new supervisors, including faculty with supervisory responsibilities. Training will give special attention to performance management principles, processes, and practices; employee/supervisor engagement; and the consolidated discipline/appeal process. In addition, all employees will need to attend training about performance management to help them understand how to develop goals, learn about available resources, and be able to engage in the process.

When hiring supervisors, applicants should be assessed for supervisory competencies. It would be valuable to also provide dual career tracks for many job families so that supervision of others is not a requirement for advancement. Not all employees have the competencies or interest in becoming a supervisor, but do so in order to advance in their career.

The disciplinary and appeal process lacks consistency and it will be consolidated into one process for all employees, based on due process and just cause, as appropriate. Uniform accountability of employees will aid in improving the campus climate.

**Recommendation Description**

The University of Wisconsin-Madison has a commitment to provide an environment where employees can flourish and can further the mission and vision of the university at large. In order to effectively manage the performance of all of the employees we have identified the supervisor/employee relationship as a key component.

Critical to this relationship are:
- mutual respect and civility
- the ability to maintain frequent, two-way communication
- a supervisor's ability to work with employees' strengths and address opportunities for improvement in skills or conduct as they become evident.

It is important that as part of a supervisor's own performance management feedback, he/she is evaluated on his/her ability to supervise employees. It should be noted that supervisors are also employees and it is imperative that their performance also be evaluated on a regular basis.

**Every** UW-Madison employee should expect to discuss and receive performance feedback, communicate shared goals, and development opportunities as a partnership with supervisors. This process will be required for all supervisors regardless of the employee classification they manage or direct. This includes faculty with supervisory responsibilities.

Based on the significant interdependencies with other HR Design Teams, the success of implementing and supporting an effective performance management system on this campus is essential. It is in the best interest of employees, supervisors, units, and the campus to embrace a robust performance management system to achieve both the goals and missions of the university, and also to enhance our workplace climate. Therefore, full support from campus leadership, governance groups, and other stakeholders is needed in order to implement consistent, timely, and required performance management.

Building an effective relationship between supervisor and employee relies, in part, on providing the supervisor the training needed to lead employees. Comprehensive performance management training is essential and will be required for all supervisors. This training would promote the importance of performance management and how to properly conduct a fair and consistent employee review. Training should also be made available to all employees who have an interest in becoming a supervisor, including principal investigators (PI) who have supervisory responsibilities. A mentoring program would provide networking opportunities and create a support system for aspiring, new, and continuing supervisors.

Performance management training must be ongoing and create new training based on identified needs through the annual goal-setting review process. Resources will be needed to meet the need for increased training that will result from implementing these recommendations and marketing of training available.

In addition to training, campus resources are available to assist supervisors in learning the skills needed to have difficult conversations with employees, as well as conversations focused on employee development. These resources include OHR, EAO, Legal Services, Office of Quality Improvement (OQI), the Ombuds Office. We recommend the development of a comprehensive performance management toolkit. The toolkit would help support the evaluation process and create a climate and environment for employee success.

The toolkit will foster opportunities for routine performance evaluation of all employees and will assist employees and their supervisors in exchanging feedback about job goals and expectations on a regular basis. This two-way communication of evaluation (supervisor evaluating employee and vice versa) is critical to attracting, developing, and retaining talented employees. The toolkit will aid supervisors and employees in identifying professional development opportunities and establishing a foundation for an employee career path. The toolkit will provide a better understanding of performance management to all employees and may alleviate stress. (See appendix C for details about the components of the toolkit.)

Thoughtful consideration should be given to creating one discipline/appeals structure for all staff. This will provide more consistency, transparency, and equity. This structure will be coordinated by campus HR offices and will provide proactive training of employees with supervisory responsibility on how to handle performance and conduct issues. In situations where discipline is warranted, these supervisors should be well-versed in the discipline/appeals process. Prior to formal discipline and during the process, campus resources should be utilized to provide employees and supervisors with the necessary support to help resolve the performance issues to ensure accountability of all involved.
In summary, our work team recommends the following:

1. **Every** UW-Madison employee should expect to discuss and receive performance feedback, communicate shared goals and development opportunities as a partnership with supervisors, including faculty with supervisory responsibilities.

2. This process will be **required** for all supervisors regardless of the employee classification they manage or direct.

3. Full support from campus leadership, governance groups, and other stakeholders is needed in order to implement a consistent, timely, and **required** performance review process.

4. Comprehensive performance management training is essential and will be required for all supervisors.

5. Develop a performance management toolkit to help support the evaluation process and create a climate and environment for employee success.

6. Create one disciplines/appeals structure for all staff to provide more consistency, transparency, and equity.

**How does the recommendation address significant current issues?**

One of the biggest challenges at UW in relation to performance management is the lack of consistency across campus. Some units have an excellent well-used system, but many do not have a system at all or one that is not used consistently. A system-wide approach is intended to create consistency, accountability, and transparency. A performance management toolkit will provide the necessary resources for employees and supervisors. The ease of accessibility to information will increase supervisor and employee knowledge of resources available and the ability to complete meaningful performance evaluations.

Gaps have been identified in the current state of the employee/supervisor relationship. Specifically, many supervisors are inconsistent in addressing performance issues. Also, as new supervisors come in, they may inherit some performance issues not handled by the previous supervisor. Current gaps could be significantly reduced by setting up a system for training new supervisors including an expectation that they make use of campus resources, as appropriate.

An updated and consistent performance management process will address the current issues in the following ways:

1. Up-to-date position descriptions will allow supervisors and employees to clearly understand the responsibilities of the position and alert both when the position description is out of date and needs to be revised.

2. Training of supervisors in performance expectations and in corrective and disciplinary action will empower them to address issues before they escalate.

3. Using one system for all employees will simplify the training and confusion over processes and better empower supervisors to manage performance with confidence.

4. Leadership at the top needs to support and be committed to the performance management system.

**Efficiency:** Proactive expectations and performance management will lead to improved performance and less time spent in the discipline and appeals process. In addition, improved relationships between employees and supervisors allow everyone to focus on the work at hand rather than being distracted by interpersonal conflict. In essence, improved relationships will improve efficiency.

Creating a performance management system would provide a centralized location for all employees to access needed assistance, tools, and information. Efforts would be streamlined and provide evaluation templates, email reminders, training, definitions, competencies, and accountability for all employees. This centralized location would eliminate duplication of effort and provide a library of performance management resources.

Creation of new training opportunities and enhancing current training events would provide supervisors and employees the skills to efficiently complete periodic, meaningful performance evaluations. With effective training, supervisors will be able to complete meaningful performance evaluations that provide employees with feedback...
resulting in improved performance and increased job satisfaction. The OHRD website listing current training opportunities through their department could be modified to become a single repository for all campus training opportunities, including those offered through DoIT, the Graduate School, and other units. This would certainly be more efficient for employees and increase exposure of relevant training opportunities for all employees.

In relation to the discipline and appeals process, one set of work rules and a single process for administration of discipline will simplify the training, streamline the processes, and reduce confusion on how to follow the discipline/appeals process.

**Flexibility and Responsiveness:** A tailored approach to address performance management needs and differences among “job families” is important. While there may be core competencies for all employees, a one-size-fits-all approach will not work well for the diversity of jobs at UW-Madison. The performance management toolkit will be designed with forms and processes that can be tailored and adapted to fit the specific needs of each similar job or job family.

All workers can be flexible and responsive to demands of the workplace when the relationship between the employee and supervisor is adaptable, transparent, and communicative, creating a sense of team between the two. Continuous communication regarding expectations further provides course correction for performance improvement and additional opportunities for employee development.

One set of work rules and a uniform discipline/appeals process will lead to a more equal treatment of employees across campus. The uniform work rules will need to be broad enough to encompass all employees, yet specific enough to be meaningful.

Ongoing training on performance management will help supervisors to more effectively manage employee strengths and be responsive to individual areas for growth. In addition, these training opportunities may enable employees currently in nonsupervisory positions to advance into supervisory positions. Creating an opportunity for employees to progress without becoming a supervisor increases flexibility offering more options for employees.

**Alignment:** Communicating expectations throughout the employee lifecycle will strengthen job satisfaction and job development. Since all employees have supervisors, any improvement in this relationship improves the likelihood of employee engagement. It is mission-critical to the success of the institution that the leadership of the university supports these recommendations and holds its own direct reports accountable as well. Performance evaluations provide a mechanism for goal setting encouraging employees and supervisors to build a performance partnership that can be utilized to reach mutual goals.

Training will provide mechanisms to help supervisors and employees to communicate better. This will enable supervisors to more effectively identify and articulate employees’ strengths and weaknesses and allow supervisors and employees to strategically leverage strengths to achieve the university’s mission. Employee training will be tied to overall performance goals.

The following aspects of the system address much-needed alignment in relation to performance management:

1. The employee understands the entire performance management process and is engaged in performance. Ideally, supervisors and employees will understand when performance issues are escalating as a result of the ongoing communication/engagement.
2. Performance management will be aligned with competencies.
3. Disciplinary process identifies and takes into consideration any diversity issues that may affect its administration.

**Consistency:** Job expectations and work rules should apply across all job categories and be fair and equitable.

Improved training about the roles and responsibilities of supervisor and employee would affect everyone on campus including faculty. Requiring uniform and continued training for all supervisors will provide consistent standards and will enable the university to achieve its core mission.

A performance management toolkit with a comprehensive glossary will help facilitate a common language for the campus community. This will provide standard definitions that will provide the same benchmarking between employees and supervisors.
The instruction and tools used in the corrective action, discipline and appeals processes will be available to all employees.

**Transparency:** Job expectations need to be clearly articulated to all employees across all job categories, which will lead to greater transparency in the workforce.

Employees at all levels, up to and including the chancellor, will be expected to participate in the performance management process. This includes providing education on the value of this component and the desired goal. Clearly communicated evaluation standards provided to all supervisors and employees in training sessions and available online will enable uniformity in evaluation processes across campus. Contributions made by both employee and supervisor to the form throughout the year will provide a continuous mechanism for both to see expectations, achievements, and professional development.

The current corrective action, discipline, and appeals processes are very complex and inconsistent across employee categories. The new system will be simple, clear, and consistent across employee categories. Employees will be aware of these processes and know where to seek additional information.

**How does the recommendation promote our workforce and community of the 21st century?**

The team’s recommendations clearly support and promote the campus workforce and community for the 21st century in the following ways:

**Diversity**

- All employees are expected to demonstrate respect for cultural differences and acknowledge diversity when communicating expectations.
- It is essential that we learn to value differences rather than shy away from them. Building a partnership/relationship between supervisor and employee would enhance respect of all employees.
- Creating an environment of open communication where issues, concerns, and expectations are freely discussed and addressed without retaliation or retribution.
- Creating the performance management toolkit will improve communication and lead to connecting supervisors and employees to better address cultural differences.
- A consistent set of work rules along with a consistent corrective action, discipline and appeals process would contribute to an environment of equitable treatment.

**Engagement**

- Open and continuous communication will lead to greater trust and desire to be engaged in the campus community and will support professional development of all employees.
- By improving the relationship between employee and supervisor, it can be expected that this single component would have a significant impact on engagement.
- Training will increase the transparency of the performance management process and help build respect between supervisors and employees using the evaluation system. These opportunities will provide guidance to supervisors on how to engage employees and how to set and achieve attainable goals.
- An online evaluation form would provide the opportunity for year round contributions of both the employee and supervisor. This leads to a more meaningful evaluation and engaged employees who are interested in achieving higher performance. This will also identify training needs and wants to improve both employee and supervisor success.
- Clear communication of expectations related to work rules, performance, discipline, and appeals is shared and understood by all employees and supervisors.
- Equal application in the administration of disciplinary process and appeals across campus is critical.
Right Talent and Fit

- By clearly articulating the expectations in the position description, the campus will select suitable candidates who will develop and remain committed to UW-Madison throughout their employment.
- The recommendations would provide employees the tools they need to be successful and help to assess alignment for position and coaching for alternate career paths as needed.
- Continual training opportunities for all employees are essential for individuals to succeed in their current positions and to advance in their careers.
- Effective use of the performance management toolkit will help ensure that individuals are matched with the job skills to succeed.

Adaptability

- Communication between employee and supervisor will be continuous, not merely the annual evaluation process.
- The system and recommendations would provide data and benchmarking information, which will be needed for periodic review for effectiveness and areas for improvement.
- Training, technology, and trends should be available and updated on a continual basis to ensure that all staff are trained and able to succeed regardless of learning styles.
- An online resource system enables the performance management toolkit to be updated in a timely manner with topics that may evolve through the HR process and employee job cycle.
- Good communication is always a key component to employee engagement and process change.

What major alternatives were considered?

The team considered keeping separate corrective action, discipline and appeals processes for faculty, academic staff, and classified staff.

Were there dissenting opinions?

There were no dissenting opinions.

What are the dependencies and interdependencies with other work teams?

An effective performance management system is a crucial HR element that not only supports the functions of a successful campus HR system but also is an instrument to many areas that empower individual employees, supervisors, and campus units to succeed and reach their goals. In our team research and interactions with other HR Design teams, it became apparent that all ten other work teams link (in one way or another) to the Performance Management team (and our scope).

Below are the major intersections, dependencies, and interdependencies our team encountered during our research:

**Compensation (Phase I)** — The Compensation team proposes a pay-for-performance compensation model that would require a robust performance management/evaluation process, recognizing the importance of an objective, unbiased performance review process. The sole purpose of a performance management system is not to decide who gets compensation. Additional research and thoughtful consideration should be given before implementing a program that attaches compensation to evaluation.

The Performance Management Team considered the natural connection between our performance management recommendations and the issue of compensation.

If salary adjustments are based on performance it is essential that a transparent and reliable tool must be developed and uniformly utilized to ensure an objective evaluation is provided without bias or favoritism. The evaluation tool utilized must provide identifiable measurements justifying the compensation adjustment for truly outstanding performance.
Adjustment for outstanding performance can include compensation, but may also include workplace flexibilities, alternative work schedules, or benefits such as tuition reimbursement or training opportunities. Research has found intrinsic rewards are equally important in the workplace. Such rewards recognize pride, relationships, and the sense of contributing to the university mission.

Compensation for performance may not be suitable for all job families. Alternative compensation tools should be considered for those positions, such as employee development training and skill development advancement.

While merit pay and pay-for-performance (in theory) can incentivize employees to meet and exceed campus mission and goals, there are equal hazards in implementing and connecting a pay-for-performance plan to a performance management system:

- Decrease focus on customer needs
- Neglect of improvement opportunities
- Avoidance of stretch goals
- Decreased innovation and risk aversion
- Teamwork and collaboration avoidance

It is unfair and ineffective to put a pay-for-performance program in place if the performance management system, infrastructure, and campus culture are not ready. A robust and reliable performance management system can be one of many tools to help assess employee performance. If a unit is inclined to reward high-performing employees with pay, employee development opportunities, training, workplace flexibilities, etc., this tool would be required.

**Competencies (Phase I)** — The Competencies team recommends establishing job-related core skills and abilities that would be expected and consistent across like jobs and titles. These core competencies can enhance a performance management system by setting a consistent and meaningful structure of criteria for employee evaluations. Competencies can also be further tailored within a performance evaluation for specific skills, abilities, or mind-sets that aligns with unit goals and missions. Competencies also help clarify job expectations for both employees and supervisors.

**Diverse Workforce (Phase I)** — The Diverse Workforce team recommendations are critical in the foundation regarding the relationship between supervisor and employee (especially during the performance evaluation process). Integrating diversity concepts into supervisor training and providing campus support and consultation before issues escalate will only strengthen our commitment to respect cultural differences and acknowledge diversity in communicating.

**Employee Categories & Titles (Phase I)** — The Employee Categories and Titles teams are recommending a unique approach of recalibrating current job titles and classifications into a more meaningful alignment that can provide more consistency and like competencies. These “job families” could serve the Performance Management team with a framework for tailoring evaluations by “job family” instead of a one-size-fits-all approach. The Employee Categories recommendations of merging both classified and unclassified employees into one redefined category would certainly improve the alignment of recommendation that one discipline and appeals process be considered for all current classified and unclassified employees.

**Employee Development (Phase II)** — A significant aspect of our recommendations involves training and employee development opportunities. An ideal performance management system would provide development opportunities for both supervisors and employees in a continuous manner to enhance and empower our workforce. Integrating development opportunities directly into the performance management process will improve awareness, efficiency, and support to our employees to help them meet job expectations and reach career goals.

**Transition and Succession (Phase II)** — The Transition and Succession team is addressing employee performance remediation issues and processes. The employee performance assessment will directly rely on a well-documented performance history to build a Performance Improvement Plan (PIP) that will help outline employee expectations, resources, and timelines for performance progress.

**Workplace Flexibility (Phase II)** — The Workplace Flexibility team (like the Compensation team), requires a robust and trusted system to provide consistent, accurate, transparent tool to help outline flexible workplace arrangements and opportunities.
What development or implementation challenges do you anticipate?

Implementing a university-wide performance management system will have several challenges. Performance management training for supervisors and employees and the new discipline/appeals process will be time-consuming and may be met with resistance. This training will be a critical component to the success of the system.

Effective communication with all employees and engagement by all supervisors is critical and will need to be monitored, especially during the critical culture-changing period. The mutual benefits of two-way communication and feedback may not be entirely embraced by campus supervisors.

The ability to assess supervisors for "fit" for a supervisory role could be a challenge, especially since the career track of many positions seems to be directed toward supervision as a way to get a promotion.

The development of this new performance management system will require additional resources such as dedicated performance management staff. These employees would specialize in different aspects of performance management and act as resources for all UW-Madison employees.

Developing the new discipline and appeals process will be challenging because it will require agreement among the governance bodies and stakeholders in order to create one process that meets the needs of all employees.

What change management challenges are anticipated?

As our recommendations and interdependencies indicate, the success of implementing and supporting a robust performance management system will benefit all employees, units, and campus as a whole. The success of the proposed performance management process will provide needed support for recommendations from the other HR Design teams. Change of this magnitude will impact almost every employee on this campus and require a significant change management model supported by campus administrative leaders, deans, faculty, staff, and students. All employees on campus understand the importance of performance evaluations and how they provide value even though very little guidance or direction exists today. However, much of the campus has given up on conducting evaluations due to the lack of funding for compensation, time constraints and workloads, or simply because they perceive no benefit from the process. In addition, many faculty and principle investigators supervise staff, but are inattentive to performance management.

New training requirements will likely be met with resistance, both for the time required and for concern about the value of such training. Supervisors who rely on research funds may not be eligible to take the time to attend training if it is not part of their required effort. Funds to provide training, work-release and coverage for those attending training are not consistently available. This is a challenge for establishing dedicated campus positions to support performance management.

In addition, employees will need to be educated about new work rules, corrective action, discipline, and appeals processes. This will be crucial to help employees adjust to these changes.

What is the impact of your recommendation?

A more standardized performance management system will meet the needs and desires of UW employees and help them to succeed in their jobs.

This recommendation will require time out of the office for employees to attend initial and ongoing training. In the long run, it is a small investment for a great return on skill development and talent management. Scheduling adjustments would need to be made to accommodate time out of the office. There is a mutual benefit to the improved process.

In addition, networking and mentoring opportunities will help supervisors and employees be more successful in their jobs and help them in setting obtainable goals.

Supervisors who are well-trained to lead, coach and mentor will be better equipped to create a safe environment in which employees may openly communicate regarding job expectations without retaliation or retribution.

Creating one corrective action, discipline, and appeals process would improve climate and perception of inequitable workplace, minimizing the hierarchy/caste system.
Open Questions

The Employee Categories recommendations of merging both Classified and Unclassified employees into one redefined category would certainly improve the alignment of the recommendation that one discipline & appeals process be considered for all current Classified and Unclassified employees, but is not essential.

Additional research and thoughtful consideration should be given before implementing a program, which directly ties compensation to performance management.

Additional efforts to further research and investigate the benefits of a campus-wide discipline and appeals process for fit and consistency may be required by a future HR Design team.

What alternatives to electronic communication will we offer for employees without computer literacy and/or access at work?

Campus resources are available to assist supervisors in learning the skills needed to have difficult conversations with employees, as well as conversations focused on employee development. In addition to these resources, non-campus resources such as personal representatives (labor union representatives, private attorneys, friends, etc.) should also be made available to assist supervisors.

How will faculty be evaluated as supervisors? Project Resources & Appendices

- Links to the current policies and procedures related to academic staff and classified performance evaluations and discipline/appeals process
  - Current classified performance evaluation form format and classified performance evaluation forms
  - No evaluation forms for academic staff
- List of performance management guidelines from private and university sources:
  - Performance Management by SHRM — Effective Practice Guidelines
  - Performance Management: A roadmap for developing, implementing and evaluating performance management system
    http://www.shrm.org/about/foundation/research/Documents/1104Pulakos.pdf
  - Performance Management Guidelines University of Missouri
  - Performance Management Process Handbook Oklahoma
  - OneStep Managing Performance: A Practical Guide for Implementing Best Practices
- Summary of HR performance management from other universities for benchmarking:
  - Northwestern University (http://www.northwestern.edu/hr/workplace-learning/performance-excellence/index.html)
  - Stanford University (http://hrweb.stanford.edu/)
  - University of Michigan (http://www.hrd.umich.edu/performancemanagement/)
  - University of Minnesota (http://www1.umn.edu/ohr/toolkit/performance)
  - University of California – Berkeley (http://hrweb.berkeley.edu/performance-management)
  - John Hopkins University (http://tmod.jhu.edu/talent_mgmt/talent_mgmt_perf_mgmt.cfm)
- University of Wisconsin System, New Personnel Systems, Work Group Recommendations (http://web.uwsa.edu/personnelsystems/)
- HR Performance Management benchmarking by Huron from Administrative Excellence study
- Examples of performance evaluations:
  - UW-Madison School of Business performance evaluation form
  - UW-Madison School of Pharmacy performance evaluation form
  - UW-Madison Facilities Planning & Management performance evaluation form
  - UW-Madison University Health Services performance evaluation form
- Jackson State University performance evaluation
  (http://www.jsu.edu/hr/pdfforms/UpwardPerformanceEvaluationForm040710.pdf)
- HR Performance Management team campus engagements (campus surveys, forum feedback, web-chats, World Café, etc).
- Articles (Appendix A)
- Performance Management Employee Lifecycle (Appendix B)
- Recommended Performance Management Toolkit Components (Appendix C)
### APPENDIX A | ARTICLES

<table>
<thead>
<tr>
<th>Resource</th>
<th>Web Link</th>
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<tbody>
<tr>
<td>The Trouble with Performance Reviews, Bloomberg Businessweek</td>
<td><a href="http://www.businessweek.com/managing/content/jun2009/ca20090630_570973.htm">http://www.businessweek.com/managing/content/jun2009/ca20090630_570973.htm</a></td>
</tr>
<tr>
<td>Performance Management: Overall Goal and Basic Steps, Free Management Library</td>
<td><a href="http://managementhelp.org/performancemanagement/goals-and-steps.htm#anchor344488">http://managementhelp.org/performancemanagement/goals-and-steps.htm#anchor344488</a></td>
</tr>
<tr>
<td>Toxicity of Pay for Performance</td>
<td>[Toxicity of Pay for Performance by Donald M. Berwick](Toxicity of Pay for Performance by Donald M. Berwick)</td>
</tr>
<tr>
<td>The Folly of Merit Pay, Education Week, September 17, 2003 (**)</td>
<td>“The Folly of Merit Pay,” Education Week, September 17, 2003 (**)</td>
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HR DESIGN
EMPLOYEE LIFECYCLE
PERFORMANCE MANAGEMENT

ATTRACTION
TRANSITION
ADVANCE
DEVELOP
RETAIN

ATTRACT
TRANSITION
ADVANCE
DEVELOP
RETAIN

PERFORMANCE
MANAGEMENT

STRONG WORKFORCE,
EMPLOYEE
APPRECIATION,
PERFORMANCE
PARTNERSHIP

DEFINE EXPECTATIONS,
RESOURCES, TRAINING,
COMMUNICATION

COMPETENCIES CAREER
PATH, STRENGTHS,
EVALUATION,
MENTORING

EMPLOYEE/SUPERVISOR
ENGAGEMENT, GOAL
SETTING, SKILL
DEVELOPMENT
APPENDIX C | RECOMMENDED PERFORMANCE MANAGEMENT TOOLKIT COMPONENTS

- Confidential and secure online performance evaluation form that contains the following:
  - Link to an employee’s position description, which will include clear expectations
  - A tracking system that has the ability to notify the supervisor of date reminders, track who and when evaluations are completed and perform statistical analysis of evaluation ratings
  - Allows accessibility to both the supervisor and employee to update throughout the year for discussion but not replace verbal communication between employee and supervisor
  - Measurable organization-wide competencies (adaptability, collaboration, communication, continuous learning, initiative, innovation, quality and service)
  - Examples of how to appropriately complete a meaningful evaluation
  - Rating scale and explanations/instructions for standardization
  - Evaluations of employees contributions to diversity and climate

- Minimum of an annual performance evaluation that discusses the content on the performance evaluation form as well as:
  - Goal setting between the employee and supervisor
  - Training opportunities
  - Opportunity to review employee work rules

- An online resource system is developed that is searchable, easy to use and contains a list of HR websites, HR forms and current list of training opportunities.

- Development of a performance management glossary to help facilitate a common language for team members and the campus community.

- Software system that links competencies and goal setting to available and potential training resources and OHRD system.

- Clearly articulated job expectations are part of the performance management toolkit. These expectations will need to be mutually modified in a continual process (without adversely impacting the reclassification and promotion process). Inclusion of job expectation component in the toolkit would provide the following improvements and benefits:
  - Employee has the responsibility to review his/her position description.
  - Understanding expectations is the mutual responsibility of employee and supervisor.
  - Expectations are clear and understood.
  - Employees receive continuous coaching and review of expectations from supervisors and others.
  - Workplace expectations apply to everyone and should be written for all (conduct, respect, civility) which could lead to acceptable/standardized behavior.
  - Position descriptions are updated on a regular basis.
  - Staff is co-accountable with their supervisors for the performance process.
  - Supervisor communicates specific expectations, tools, and resources that lead to success and back to full performance as indicated in the employee’s position description.
  - By ensuring contributions from employees within performance management toolkit (and process), will positively impact campus climate, civility, diversity and equity in the workplace.

- Ability to include additional feedback from multiple raters or sources (employees, peers, customers, other stakeholders) as part of the overall evaluation.