



**HUMAN  
RESOURCES**

**Performance Development Program  
Staff Guide**

### Our Mission...

To improve the human condition and serve the public good of Maryland and society at-large through education, research, clinical care, and service.

### Our Vision...

The University will excel as a pre-eminent institution in its missions to educate professionals, conduct research that addresses real-world issues affecting the human condition, provide excellent clinical care and practice, and serve the public with dedication to improve health, justice, and the public good. The University will become a dominant economic leader of the region through innovation, entrepreneurship, philanthropy, and interdisciplinary and interprofessional teamwork. The University will extend its reach with hallmark local and global initiatives that positively transform lives and our economy. The University will be a beacon to the world as an environment for learning and discovery that is rich in diversity and inclusion. The University's pillars of professionalism are civility, accountability, transparency, and efficiency. The University will be a vibrant community where students, faculty, staff, visitors, and neighbors are engaged intellectually, culturally, and socially.



## UMB'S CORE VALUES

RESPECT *and* INTEGRITY

WELL-BEING *and* SUSTAINABILITY

EQUITY *and* JUSTICE

INNOVATION *and* DISCOVERY

#UMBtotheCore

## Equity, Diversity, and Inclusion Mission Statement

All people thrive, belong, and contribute wholly to the mission, vision, and values of the institution.



**ATTRACT. ENGAGE. DEVELOP.**  
[www.umaryland.edu/hrs](http://www.umaryland.edu/hrs)

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## PART I INTRODUCTION

Effective performance evaluation involves communication between the employee and the supervisor concerning expectations, goals, and the standards for measuring performance. The Performance Development Program (PDP) provides an annual structure for employees and supervisors to communicate about performance and plan for professional development.

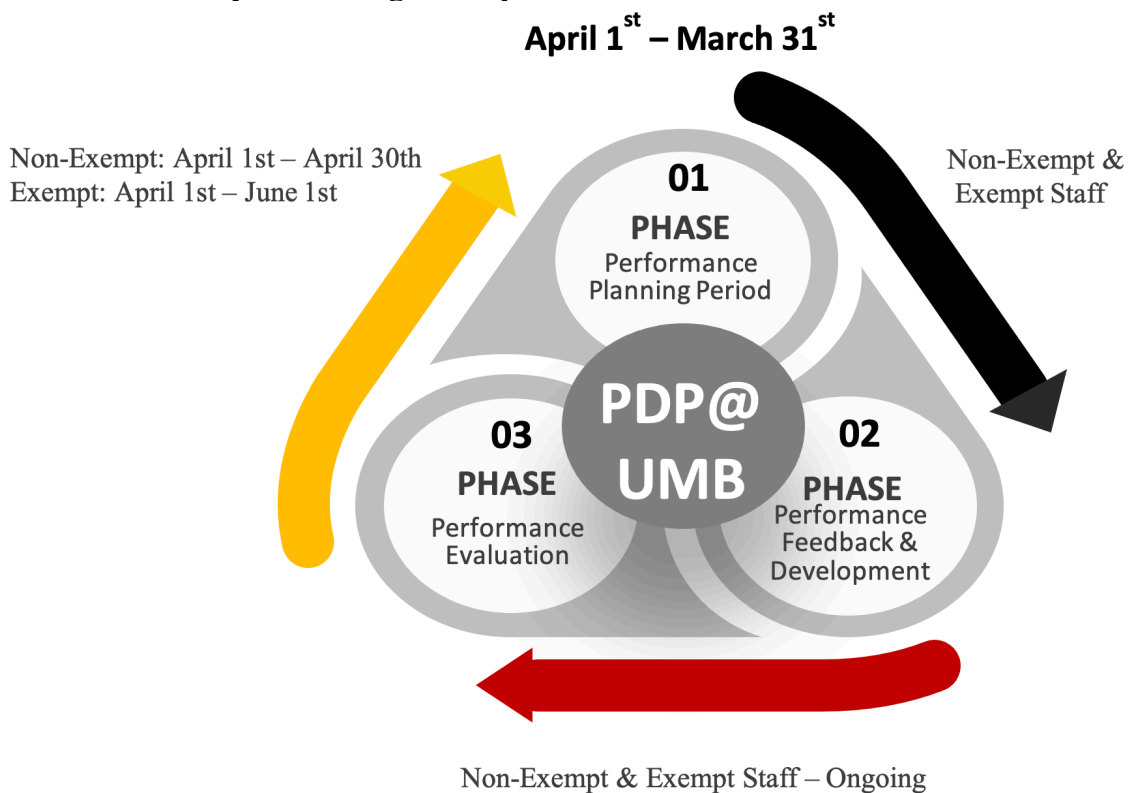
The three major components of the PDP are:

**Phase 1** - The establishment of expectations for the coming year, discussion of specific goals between the supervisor and the employee at the beginning of the rating period, and documentation of those expectations on the Objectives and Learning Goals form.

**Phase 2** - Continuous communication and feedback between the supervisor and the employee throughout the year; and

**Phase 3** - A formal discussion between the supervisor and the employee at the end of the rating period on achievements, areas for improvement, strategy for development, and assessment by the supervisor of the employee's accomplishments and documentation of that assessment on the Performance Evaluation form.

### Performance Development Program Cycle



## Cycle Dates – Performance Development Program

Performance Development Cycle: April 1 <sup>st</sup> – March 31 <sup>st</sup>					
Employee Class	Performance Planning	Employee Self-Evaluation	Performance Feedback & Development	Mid-Cycle Review	Performance Evaluation Due
Non-Exempt	May 1 <sup>st</sup> – May 31 <sup>st</sup>	April 1 <sup>st</sup> - April 7 <sup>th</sup>	Ongoing	October	April 30 <sup>th</sup>
Exempt	June 1 <sup>st</sup> – June 30 <sup>th</sup>	April 1 <sup>st</sup> – April 30 <sup>th</sup>	Ongoing	November 30 <sup>th</sup>	June 1 <sup>st</sup>

### Performance Planning – Phase 1

	Phase 1 Cycle Dates
Non-Exempt	May 1 <sup>st</sup> – May 31 <sup>st</sup>
Exempt	June 1 <sup>st</sup> – June 30 <sup>th</sup>

The 1<sup>st</sup> phase in the Performance Development Process focuses on planning and establishing expectations for the coming year. During this timeframe, supervisors and employees should meet to discuss and set specific goals and operational objectives that the employee will be assessed on at the end of the rating cycle. Established goals and objectives should be documented on the Operational Objectives and Learning Goals form in the PDP platform.

### Operational Objectives

Operational Objectives are clearly defined outcomes that are aligned with the goals of the department or UMB as a whole; have an impact on departmental operations; and are measurable and can be achieved during the cycle identified.

Objectives can also include information directly from the employee’s job description or items related to upcoming projects.

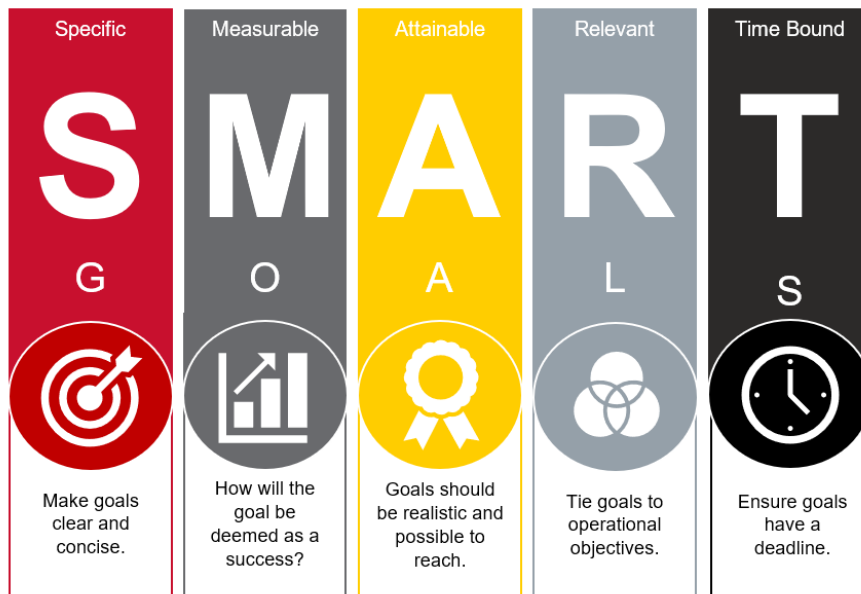
### Learning Goals and Development

Effective performance management programs give high priority to employee development. Employee development plans contain goals designed to help an employee develop knowledge, skills and capabilities required for current or future roles that are aligned to organizational needs and the employee's career goals.

## Why Set Goals and Objectives?

- Links work activities and department priorities
- Sets clear expectations
- Promotes productivity
- Encourages accountability
- Motivator for continuous progress

## SMART Goals



- Goals and objectives should be **specific** and clear.
  - If employees are unsure about their goals, they should ask questions and seek clarification.
- Goals and objectives should be able to be **measured**.
  - Example: my goal is to make 50 widgets per month.
- Goals and objectives should be **achievable** (possible).
  - Example: if my goal is to make 50 widgets per month and my supervisor says to me “your goal is to now make 1000 widgets per month.” That may not be achievable.
- Goals and objectives should be **relevant** and tie to something that applies to the employees job.
  - Example: goals should tie to operational (department) objectives, which tie to institutional objectives, which tie to our mission, vision, and values.
- Goals and objectives should **time bound** and have an expected end date or deadlines for completion.
  - Example: my goal is to build 100 widgets by the end of each month.
- **Common types of goal examples may include:**
  - Increase something...
  - Make something...

- Improve something...
- Reduce something...
- Save something...
- Develop someone...

## Communication of the Plan

By the end of Performance Planning phase 1, employees should have clear, specific performance goals and expectations set for the upcoming cycle year.

Guidelines for Employee Participation:

- Actively listen.
- Ask questions.
- Ask for clarification.
- Make suggestions.
- Confirm Expectations Are Clear.
- If Needed, Ask for Help.
- Sign-off on established goals and objectives.

## Performance Feedback and Development – Phase 2

	Phase 2 Cycle Dates
Non-Exempt	Ongoing
Exempt	Ongoing

Phase 2 of the Performance Development Process focuses on performance feedback. During this phase supervisors are responsible for having two-way discussions recognizing employee excellence and areas for improvement and learning, as well as identifying barriers to performance.

Opportunities for Performance Feedback:

- 1-1 Meetings
- Quarterly Review Meetings
- Mid-cycle Review Meetings

## Mid-Cycle Review

	Mid-Cycle Review Dates
Non-Exempt (Required)	October
Exempt (Strongly Encouraged)	November 30th

Approximately halfway through the performance cycle, the supervisor is responsible for meeting with the employee to conduct a mid-cycle review. The purpose of this review is to not only review the employee's performance for the prior half of the cycle, but to allow the employee the opportunity to correct any areas that need improvement and to reassess their current performance in relation to where they would like to be for their annual evaluation.

During the mid-cycle review, both the supervisor and the employee should review any established operational objectives and learning goals to ensure that they are still relevant to the needs of the employee and department. After discussion and feedback, objectives and goals should be updated as necessary.

Mid-cycle reviews are required for Non-Exempt employees and strongly encouraged for Exempt employees. Failure to provide a Non-Exempt employee with a mid-cycle review will result in employee's evaluation automatically being assessed at the "Meets Standards" level for that rating cycle.

### **Guidelines for Employee Participation:**

- Review Established Expectations.
- Gather Documentation.
  - Bring documentation to support performance (accomplishments, etc.)
- Identify Areas for Improvement
- Ask questions to ensure understanding.
- Seek clarification where needed.
- Ask for help if needed.

### **Performance Evaluation – Phase 3**

	<b>Performance Evaluation Due Dates</b>
<b>Non-Exempt</b>	April 30 <sup>th</sup>
<b>Exempt</b>	June 1 <sup>st</sup>

The 3<sup>rd</sup> Phase in the Performance Development Process is the Evaluation phase. The Performance Evaluation phase is used to evaluate employee performance compared to identified performance expectations discussed during the planning phase.

### **Who Receives an Evaluation?**

Non-exempt, Exempt, and Contingent II employees who have been in their position for at least 120 days by the end of the cycle (March 31<sup>st</sup>) are eligible to receive a Performance Evaluation.



## Employee Self-Evaluation (Optional)

	Self-Evaluation Timeframe
Non-Exempt	April 1 <sup>st</sup> – April 7 <sup>th</sup>
Exempt	April 1 <sup>st</sup> – April 30 <sup>th</sup>

A self-evaluation is an employee’s evaluation of their performance during the performance cycle. Self-evaluations engage employees in the performance evaluation process and allow for open channels of communication.

While not required, all employees should be provided with the opportunity to complete a self-evaluation prior to the evaluation meeting. Employees who wish to complete a self-evaluation should do so through the Performance Development platform.

### Evaluation Rating – Rating Scale

At the end of the cycle, the supervisor and employee discuss the employee’s performance throughout the entire cycle. The determination of the ratings will be consistent with the defined rating scale: Outstanding, Above Standards, Meets Standards, Below Standards, or Unsatisfactory.

Rating Scale	
Outstanding	The employee’s work consistently exceeded expectations.
Above Standards	The majority of the employee’s work exceeded expectations.
Meets Standards	Performance fully met the established job expectations and may have periodically exceeded expectations.
Below Standards	Performance met some of the job expectations but did not fully meet the established measures.
Unsatisfactory	Performance generally failed to meet the established expectations or required frequent, close supervision and/or the redoing of work.

See Appendix II for additional information on Rating Definitions.

### Overall Ratings of Below “Meets Standards”

If the overall rating on the evaluation is “Below Standards” or “Unsatisfactory”, the employee will receive a **Performance Improvement Plan (PIP)**. A PIP is a documented plan that communicates

performance expectations, where an employee is not meeting the expectation and instructions on what must be done to correct deficiencies and the timeframe in which it should be accomplished.

Employees who have been placed on a PIP are encouraged to do the following.

- Be open to feedback on how to improve performance.
- Ask questions to clarify what is expected and how to reach those expectations.
- Work with their Supervisor to determine goals, objectives, timeframes, and needed resources.
- Improve their performance based on the determined expectations.

What to do if an employee disagrees with their performance evaluation:

- Employees should express their disagreement with their supervisor. This may be done through conversation or included on the evaluation form.

*See Appendix I for Related Policies and MOUs*

## ***PART II PREPARING FOR THE PERFORMANCE EVALUATION MEETING***

While the supervisor and employee prepare independently for the Performance Evaluation meeting, both individuals play a significant role in setting the stage for a successful meeting. Preparation may include reviewing prior achievements, preestablished objectives and goals, and performance feedback.

### **Guidelines for Employee Participation:**

- Review their job description.
- Review established expectations set during the performance planning period.
- Gather documentation regarding their performance (accomplishments, etc.).
- Conduct a self-evaluation (optional).
  - Allows the supervisor to see how they rate themselves against the established performance expectations.
- Provide feedback and comments during the meeting.
- Participate in the discussion.
  - Ask questions to ensure understanding.
  - Seek clarification when needed.
  - Ask for resources and help if needed.

## ***PART III PARTICIPATING IN THE PERFORMANCE EVALUATION MEETING***

The Performance Evaluation Meeting is a formal discussion about employee performance. The discussion should reflect an assessment of the employee's performance throughout the evaluation period. The goal of the meeting is to help employee's enhance performance strengths, improve weaknesses, and develop skills.

### **Guidelines For Employee Participation:**

- **Meeting with the Supervisor:**
  - The evaluation is about the employee and their performance. Join the scheduled meeting on time, prepared to participate in the discussion!
- **Prepare:**
  - Employees should come prepared by reviewing their evaluation in advance. Bring information to share that may be relevant & helpful to the meeting.
- **Participate:**
  - Make suggestions.
  - Provide feedback.
- **Confirm Understanding:**
  - Ask questions.
  - Ask for clarification.
  - Understand next steps.
    - Sign off on the evaluation (not required). Signature does not imply agreement, only confirmation the evaluation was provided.
    - Confirm performance planning meeting for the next cycle.

***PART IV: APPENDICES***

**Appendix I – Related Policies and MOU’s**

[VII - 5.20 - USM POLICY ON THE PERFORMANCE MANAGEMENT PROGRAM](#)

[VII-5.20\(a\) UMB POLICY ON THE PERFORMANCE MANAGEMENT PROGRAM](#)

[MEMORANDUM OF UNDERSTANDING ARTICLE 5. PERFORMANCE EVALUATION](#)

[VII-8.00 USM POLICY ON GRIEVANCES FOR NONEXEMPT AND EXEMPT STAFF EMPLOYEES](#)

[VII-8.00\(a\) UMB GUIDELINES AND PROCEDURES ON GRIEVANCES FOR EXEMPT AND NONEXEMPT STAFF EMPLOYEES](#)

## **Appendix II - Performance Improvement Plan (PIP) FAQs**

### **1. What is a Performance Improvement Plan (PIP)?**

A Performance Improvement Plan (PIP) is a plan that aims to help employees who are not meeting job performance expectations. A PIP covers specific areas of performance deficiencies, identifies skills or training gaps, and sets clear expectations for an employee's future conduct. Objectives must be met within a certain timeframe, and failure to do so may result in employment actions up to and including termination.

This plan should be constructed with the assistance of Employee and Labor Relations.

### **2. When should a Performance Improvement Plan (PIP) be implemented?**

PIPs should be implemented when an employee is not consistently meeting performance expectations or when an employee receives an overall rating below "Meets Standards" on their performance evaluation form.

### **3. How long should a Performance Improvement Plan (PIP) last?**

The PIP length should be between 3 to 6 months.

The length of the PIP should be based on the ability to assess improvement in the employee's performance.

### **4. How often must I meet with an employee on a Performance Improvement Plan (PIP)?**

Supervisors must meet with an employee on a weekly or bi-weekly basis.

### **5. Can an employee grieve a PIP?**

Employees cannot typically grieve the contents of a PIP. However, employees can grieve disciplinary steps taken when a PIP is not successfully completed.

### **6. What are the consequences for not successfully completing a PIP? Can a PIP lead to termination?**

If employee's performance does not improve or worsens, the supervisor can pursue disciplinary action up to and including termination for cause in accordance with the USM policies on Separation – VII-1.22 and VII-1.23.

### **7. What happens if the employee demonstrates the necessary improvement on the PIP?**

If the employee's performance meets the expectations outlined in the PIP, then no further action is required.

## Appendix III - Summary of Evaluation Rating Scale

### UMB Summary of Performance Evaluation Rating Scale

Use the rating scale descriptions below to select your ratings during the performance development process.

#### OUTSTANDING

- Performance consistently far exceeds the requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations of the position; performance is exceptional, and quality of work is superior.
- Consistently integrates a wide variety of technical, managerial, and other skills to effectively solve problems and carry out duties well beyond the expectations of the position throughout the performance cycle; outcomes and solutions are routinely excellent and seldom matched by others.
- Performance is clearly recognizable as being consistently distinguished, which far exceeds all expectations of required job standards. Merits special recognition and opportunities for particularly challenging assignments.
- Demonstrates the highest level of expertise in both handling all assignments and within critical areas; consistently makes on-going improvements.
- Employee demonstrates expertise and serves as a model of excellence or coach to other employees; this individual is chosen among peers to resolve difficult, unusual, and critical issues.

#### ABOVE STANDARDS

- Performance consistently exceeds the requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations of the position.
- Frequently integrates a wide variety of technical, managerial, and other skills to effectively solve problems and carry out duties, responsibilities, and objectives beyond the expectations of the position; makes on-going improvements.
- Employee demonstrates proficiency in performing difficult and complex aspects of the job competently and thoroughly, including extra and unique tasks assigned.
- Quality of work is excellent; consistently exceeds performance expectations.
- Performance met all major aspects of expectations and exceeded requirements in several key areas. Performed the most difficult parts of the job competently and thoroughly.
- Adds value to the organization beyond what is expected; one of the key contributors within the organization and peer group. Contributes significant results of own initiative.

## MEETS STANDARDS

- Performance consistently meets and at times exceeds the requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations of the position.
- Demonstrates ability to integrate a wide variety of technical, managerial, and other skills to effectively solve problems and carry out duties, responsibilities, and objectives within the scope of the position; adds value to the organization.
- Employee consistently demonstrates the expected standard of performance, which means accomplishing his/her goals and objectives as well as meeting all required job standards; quality of work is good.
- Employee strives for on-going improvement.
- Performance is steady, reliable, and is maintained with minimum supervision.

## BELOW STANDARDS

- Performance meets some of the requirements to fulfill the principal duties, responsibilities, objectives, and expectations of the position; improvement needed; performance needs improvement.
- Occasionally meets the performance expectations, but not consistently; frequently fails to meet the required level of performance.
- Performance indicates that with guidance and training, improvements may be achieved; requires development.
- Requires more than the normal amount of guidance, supervision, and follow-up to assure that work assignments are completed adequately.

## UNSATISFACTORY

- Performance is below the minimum requirements needed to fulfill the principal duties, responsibilities, objectives, and expectations in almost all aspects of the position; fails to meet expectations.
- Assignments are frequently completed at an unacceptable level of performance.
- Consistently fails to meet deadlines and standards of accuracy; quality of work is poor.
- Employee's performance falls substantially short of the criteria and standards of job performance.
- Immediate and substantial improvement is necessary.
- Requires an unreasonable amount of supervision and/or direction to assure work assignments are completed.

\*Full rating definitions can be found on the PDP/ELR website

## Appendix IV - eLearning Tools for Supervisors and Employees

UMB offers an electronic library of learning experiences using multiple web-based resources ranging from videos to skill briefs and job aids to enhance knowledge and skills of the UMB workforce and increase workplace productivity.

[Percipio](#) is Skillsoft's newest intelligent eLearning platform that UMB is using to manage the learning management functions. Percipio offers employees the opportunity to:

- Engage in a modern, simple and intuitive content design.
- Participate in skills-based learning paths.
- Earn digital badges.
- Gauge skill proficiency through Skill Benchmark assessments.
- Create personalized learning playlists.

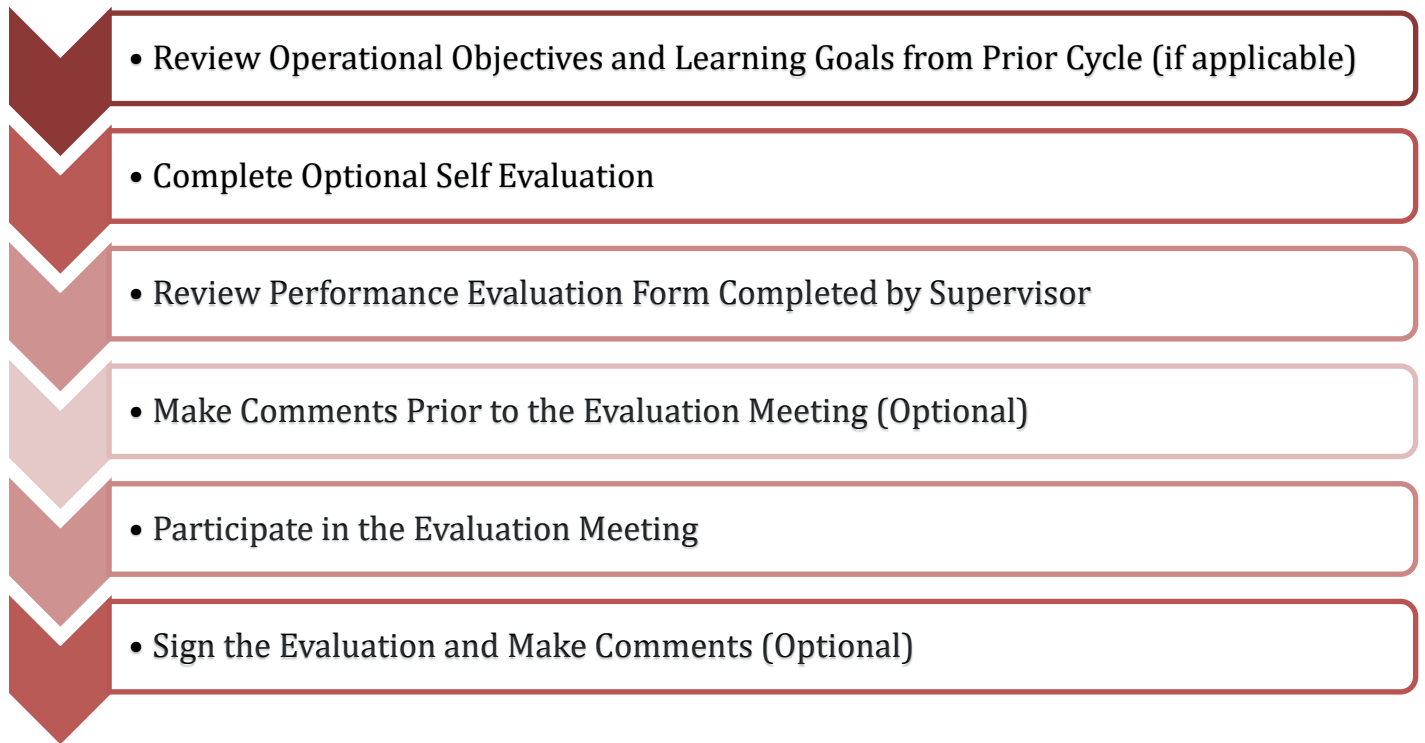
Please use these learning tools below to prepare yourself and your employee(s) for the Performance Management Process:

- [Percipio Live Course Performance Development Program Training for Supervisors & Faculty Who Supervise Staff](#) *2 hours*
- [Percipio Live Course Performance Development Program Training for Staff](#) *1 hour*
- [Setting SMART Goals](#) *3min 18 sec*
- [Accountability Framework: Setting SMART Goals](#) *3min 9sec*
- [Employee Performance Plans: Performance Goals](#) *2min 52sec*
- [Employee Preparing for a Performance Appraisal](#) *3m 3sec*
- [For Manager - The Value of Performance Appraisals](#) *3min 32sec*
- [Percipio Channel UMB Difficult Conversations](#)



## Appendix V - Performance Evaluation Workflow for Staff

### Recommended Workflow for Staff



## Who you should contact if you need assistance:

For day-to-day questions, please contact your designated school/unit HR representative.

For help with the online portal, please contact the PDP Solution Center Monday through Friday from 7:30 a.m.-6:30 p.m. starting April 3 through June 1 at 410-706-7601 or email [PerformanceManagement@umaryland.edu](mailto:PerformanceManagement@umaryland.edu).

For technical issues, please contact the Help Desk weekdays (Monday-Friday) from 8 a.m. to 5:30 p.m. and on weekends (Saturday-Sunday) from 8:30 a.m. to 5 p.m. at [help@umaryland.edu](mailto:help@umaryland.edu) or 410-706-HELP (4357). For more information, please visit their website at <https://www.umaryland.edu/helpdesk/>.

For questions regarding the Performance Development Program, please contact your designated ELR representative or please contact the general ELR Department and be routed to the next available representative at [HRELR@umaryland.edu](mailto:HRELR@umaryland.edu) or 410-706-7302.

### Tools and available Resources:

Tools and resources will be available on the HRS-ELR Website [UMB Performance Development Program](#) and will be available on 3/30/2023.

Thank you for your participation in the  
Performance Development Program Process!

This document in its entirety is guidance. It is not intended to replace existing policies, procedures, practices, or MOUs.