PERFORMANCE AND DEVELOPMENT FRAMEWORK

Introduction and Overview

Capilano University's vision to be the top teaching focused post-secondary institution in British Columbia is supported by its ability to attract and retain the best people. Effective performance management and employee development are essential to the facilitation of this objective.

Performance and development is a shared responsibility between employees and their managers. This document outlines the framework in place at Capilano University to assist employees and managers in meeting this responsibility. The processes and forms supporting the framework can be found on the HR page on Frontlines.

At its foundation, the framework supports and encourages meaningful communication between the parties around alignment of work effort and the achievement of departmental and University-wide goals. Through specific steps taken throughout the year, ongoing dialogue around goal setting is facilitated and development and training needs are addressed.

Performance and development is a cycle that starts with the setting of goals, followed by on-going dialogue, a mid-year review and a final annual performance evaluation. The cycle then repeats. The evaluation component of the framework supports the celebration of accomplishments and the articulation of challenges, and helps to identify those areas of development required in order to meet future accountabilities and competencies.

While the framework describes goal setting as an annual event, in reality, specific goals and their relative priority can and do change throughout the year. As such, the process should be viewed as fluid with the parties being able to update specifics as the year moves forward.

In addition to the setting, progression towards and evaluation of goals, the performance framework captures employee's skill levels on a number of predefined core competencies. These competencies have been identified as being critical to the success of both individual employees and the University as a whole. As such, it is expected that employees across the University achieve and maintain a high level of proficiency in these areas.

Shared Responsibility

As noted above, performance and development is a shared responsibility. For employees, this implies an awareness of the department and University's strategic and operational plans, a willingness to self-reflect and recognize areas for development and to actively participate in the performance and development cycle. Employees are also encouraged to share their personal development aspirations with their manager; whether in their current role or in preparation for potential future roles.

For managers, the expectation is that departmental and University goals are communicated clearly and frequently, that managers are aware of the specifics of their employees' job descriptions and role deliverables and that regular communication takes place around alignment between work effort and outcomes that support departmental goals. Throughout the performance cycle, managers are expected to proactively seek out and deliver upon coaching and mentoring opportunities. And further, managers are accountable for ensuring the timely completion of each step in the performance cycle and they will be evaluated, in part, on the degree to which their teams participate in the performance cycle and its successes.

Please note that while the Human Resources Department facilitates and supports the administration of the performance and development framework, they do not own it. Engaged and productive employees and departments support the mandate of the University and are appropriate and reasonable expectations of our students and the general public. Employees and their managers are accountable for delivering on these expectations.

Cycle

The performance and development cycle is from September 1st to August 31st to coincide with the academic year, as well as support the University's integrated planning cycle which commences in the fall semester.
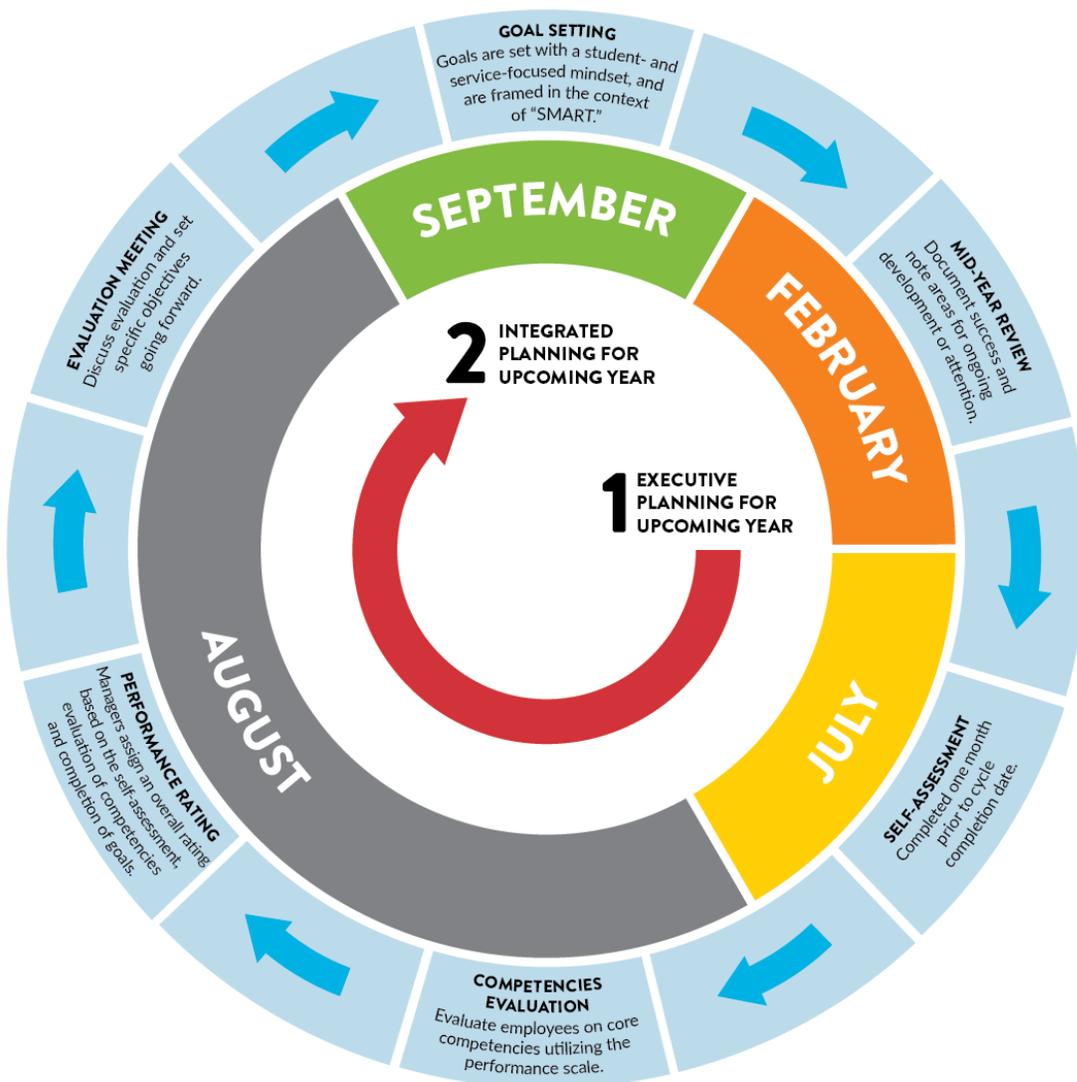
Timelines

Date	Activity
By September 30	Employee meets with Supervisor/Manager to set goals
By October 15	One-up (manager's manager) review and sign off
By February 28	Supervisor/Manager conducts mid-year review (note that in addition to this "formal" mid-cycle step, managers should be reviewing on a monthly basis the status of goal attainment and recoding, as appropriate, any required changes to goal priorities)
By July 31	Employee completes self-assessment and shares with Manager; Manager reviews the self-assessment, status of goal achievement and evaluates competencies and, using these three factors, assigns an overall performance rating
By August 15	Manager reviews proposed overall rating with One-up (this step to take place prior to sharing with employee)
By August 31	Employee meets with Supervisor/Manager to review and discuss performance and overall rating
By September 30	Executive allocates % pay increase for Exempt/Admin employees

Goal Setting – Part I

"A goal without a plan is just a wish."
Antoine de Saint-Exupery
French writer (1900 - 1944)

In advance of meeting to discuss goals, it is important for both the employee and their manager to develop a list of possible initiatives. It is helpful in this regard for the two to review the job description for the role, the departmental goals and the University's strategic and operational plans. Pre-planning leads to more focused discussion, takes less time and results in a more meaningful outcome.

Broadly stated, goals should be set with a "student and service focused" mindset. While they will vary dependent upon factors such as role and departmental operational plans, all goals should be framed in the context of "SMART".

S – specific – well defined, clear and unambiguous
M – measurable – progress towards accomplishments can be measured
A – achievable – requires employees to stretch, but should be achievable with some effort
R – relevant – the goal is immediately needed, is related to the employee's job and the department's goals and is within the context of its mission
T – timely – time to goal is clearly articulated and, where possible, supported by an action plan and timeline

As each annual performance cycle completes, the goal setting process starts again. While this would normally suggest a new set of goals, in some instances a previous years' goal may be included (for example, where a large goal spans two cycles or where completion was deferred due to prioritization of a mid-cycle addition). In any case, both parties should, in advance of the end of cycle, give thought to what new goals will be captured in the next cycle (and HR Advisors are available to assist both employees and their managers in this regard).

Mid-Period Review – Part II

It is expected that regular on-going conversations about performance, timely and accurate feedback, coaching and other developmental activities take place throughout the year. To complement this, the performance development cycle has built into it a more formal mid-period review. The purpose of the mid-year review is to provide an opportunity for the parties to document success to date and note, with specific action steps, areas for ongoing development or attention.

Additionally, the mid-year review is the time to discuss the progression towards goal completion. This may be as a result of new or changing priorities or as a result of early completion. And, at the same time, the parties should discuss any specific training or development needed to reach current goals or prepare for future scenarios.

The mid-period review is not an evaluation. As outlined above, the mid-period review is an opportunity to ensure that all is on-track for a successful evaluation of performance and, where there may be potential concerns, appropriate preemptive action is taken.

Self-Assessment – Part III

One month prior to the cycle completion date, employees should review their performance development form and complete the self-assessment section. This section is intended to provide space for the employee to reflect upon their successes and highlight any challenges faced throughout the cycle. Specific work examples will help explain/demonstrate their perspective.

A major challenge for employees completing the self-assessment section is the tendency to focus on recent events. In this regard, it might be helpful to keep, throughout the year, regular notes in a diary or calendar. Additionally, while it is important to highlight successes, it is also important to present an honest and balanced record. As above, HR Advisors are available to assist employees in completing this section.

Competency Evaluation – Part IV

In addition to the setting, progression towards and evaluation of work goals, employees are expected during the performance cycle to demonstrate their proficiency in a number of core competencies. At the end of the cycle, managers will evaluate the level of proficiency with regard to each of the specific competencies using the rating scale outlined below in the "performance scale" section. The manager will generate an overall score taking into consideration the employee's self-assessment, evaluation of their job specific competencies and the completion of goals.

The first four competencies are the same for all employees with the remainder differentiated between those with and those without managerial/leadership responsibilities.

Non-Management Competencies

1. Job Knowledge
Possesses functional and technical knowledge as well as demonstrates understanding of job assignment. Performs key responsibilities and understands how to effectively utilize key resources and technology for all aspects of the job.

2. Service Focus
Values the importance of delivering high quality, innovative service to internal and external customers (colleagues, students, families, visitors, etc.). Understands the needs of the customer and follows up to ensure satisfaction. Able to prioritize and set work activities accordingly. Uses relevant skills to achieve goals and finds innovative solutions to achieve the "extra mile".

3. Result Oriented
Takes responsibility for own work. Feels personally committed and accountable to deliver results quickly, accurately and effectively. Uses thoughtful judgment when responding to situations that are not going well and uses foresight to overcome obstacles.

4. Initiating Action/Taking Initiative
Readily takes action consistent with departmental or University objectives. Volunteers readily and takes independent actions when appropriate. Leads by example and is a good role model for others to follow. Suggests methods and procedures to improve departmental operations.

5. Productivity and Punctuality
Able to prioritize and manage work flow, especially during high volume periods. Manages to effectively follow through tasks until completion and achieve outlined goals as per the requirement of the role. Attends work on time.

6. Accuracy/Quality of Work Output

Maintains a high quality of work accuracy irrespective of the volume. Consistently produces accurate and thorough work without a high level of supervision. Pays attention to details and uses foresight to ensure the outcome is positive.

7. Interpersonal Skills and Teamwork

Cooperates and collaborates with colleagues as appropriate. Works in partnership with others to achieve desired results. Exchanges ideas, opinions and develops positive working relationships. Able to work in a culturally diverse environment showing mutual trust, respect and tolerance.

Management/Leadership Competencies

1. Job Knowledge

Possesses functional and technical knowledge as well as demonstrates understanding of job assignment. Performs key responsibilities and understands how to effectively utilize key resources and technology for all aspects of the job.

2. Service Focus

Values the importance of delivering high quality, innovative service to internal and external customers (colleagues, students, families, visitors, etc.). Understands the needs of the customer and follows up to ensure satisfaction. Able to prioritize and set work activities accordingly. Uses relevant skills to achieve goals and finds innovative solutions to achieve the "extra mile".

3. Result Oriented

Takes responsibility for own work. Feels personally committed and accountable to deliver results quickly, accurately and effectively. Uses thoughtful judgment when responding to situations that are not going well and uses foresight to overcome obstacles.

4. Initiating Action/Taking Initiative

Readily takes action consistent with departmental or University objectives. Volunteers readily and takes independent actions when appropriate. Leads by example and is a good role model for others to follow. Suggests methods and procedures to improve departmental operations.

5. Leadership and Supervisory Abilities

Attracts and selects the best talent. Coaches and inspires people. Sets expectations, recognizes achievements and proactively manages conflict. Delegates and consistently guides the team towards the outlined goals. Clearly defines responsibilities and authority limits of subordinates. Recognizes individual capabilities and assigns work accordingly.

6. Problem Solving and Decision Making

Identifies problems, involves others in seeking solutions, conducts appropriate analyses, searches for best solutions and responds quickly to new challenges. Makes clear, consistent and transparent decisions. Acts with integrity in all decision making, distinguishing relevant from irrelevant information. Assures adequate control and accounting of all funds including maintaining sound financial practices. Demonstrates a cross-university view.

7. Strategic Planning and Organizing

Aligns departmental priorities with the University's purpose. Measures outcomes and uses feedback to change as needed. Proposes solutions and alternatives on allocation of resources to achieve the University's outlined strategy. Approaches decision making (including, where applicable, program development, modification and or cancellation) with a focus on the potential impact on student enrollment, engagement and success.

8. Employee Development

Encourages and supports employee participation in personal and professional development. Able to coach, evaluate, develop and inspire direct reports. Provides constructive and objective performance feedback on a regular basis. Acknowledges and encourages good performance and proactively identifies and discusses performance problems in a timely manner. Ensures risks are minimized through proactive succession planning.

Overall Performance Evaluation

Giving consideration to the employee's self-assessment, evaluation of their job specific competencies and the completion of set goals, managers will assign an overall performance rating. While ratings should reflect a composite of the ratings of each specific competency, different departments may weigh the importance of competencies differently according to their respective priorities and the nature of the role being evaluated.

In making their evaluation decision, it is important for the manager to reflect on the full year of service. If regular performance dialogue has taken place, and relevant coaching and support provided, the rating arrived at should not be a surprise to the employee. By being proactive in facilitating performance discussions throughout the year, unrealistic expectations can be better managed and the actual evaluation discussion meeting will be more rewarding for both parties.

Performance Scale

As outlined in the Performance and Development Form, there are five ratings that managers may choose from:

1) **Rarely achieves expectations** – such a rating would be used to describe a poor performing employee who is not able to contribute to the success of the department/University. Immediate improvement in a number of key areas is required.
2) **Sometimes achieves expectation** – these employees have the potential to become solid performers but are inconsistent in meeting expectations.
3) **Fully achieves expectations** – this rating would describe the majority of our employees who are fully functioning solid performers who can be relied upon to get the job done.
4) **Fully achieves and occasionally exceeds expectations** – in addition to meeting the expectations of the role, these employees step-up their game on occasion and demonstrate the capability to work beyond the required level.
5) **Consistently exceeds expectations** – this rating would describe the exceptional employee who excels in all areas of their job and regularly goes above and beyond the level required with the potential for development and/or a broader scope of responsibilities.

In identifying their rating decision, managers are required to articulate their reasoning. This is particularly important for a rating of 1 or 2 where the evaluation meeting should be followed by the implementation of a clearly defined development plan in support of performance improvement. In the improvement plan, the competencies requiring improvement should be noted with specific examples regarding what the employee needs to do differently and actions that will be undertaken to support their efforts to achieve agreed goals (training, equipment, feedback, etc.).

Separately, for a rating of 5, managers should be able to specify a number of significant achievements that span the full performance cycle period.

Finally, it is important to remember that performance development is not just about evaluating past performance, it is about laying the foundation for future growth and increased success. Performance development is all about the conversation!

The Evaluation Meeting

Regular proactive performance discussions normally result in more positive and productive evaluation meetings. Even where regular discussions have taken place, managers should consider the following factors when facilitating the evaluation meeting.

1. **Be prepared** – it is important for the employee to feel that their manager has given serious thought to the evaluation. This is most evident where the manager has identified a number of specific examples to support their conclusion.
2. **Listen** – the evaluation is not a debate but managers are expected to be receptive to points raised by employees. This implies a willingness to listen to examples provided by the employee and to encourage an environment whereby candid dialogue is the norm and trust is mutual.
3. **Reduce bias** – avoid painting all that the employee does as being all good (halo) or all bad (horn) based on one single event. The meeting is more likely to be confrontational where the manager uses one recent example to evaluate a full cycle of activity (recency). Factual and balanced examples generally leads to a more productive conversation.
4. **Be honest** – evaluation sometimes requires the delivery of less than positive feedback. Not addressing performance concerns is not fair to the rest of the team nor to the individual. Providing timely and accurate feedback is a better long-term approach to enhancing employee success.
5. **Discuss development** – an important part of the evaluation meeting is the dialogue that takes place around the employees' development within their current role, and development in support of personal growth. What does growth look like and how to prepare for future opportunities that might present would normally form part of a comprehensive discussion.
6. **Plan the way forward** – a key purpose of the evaluation meeting is to set specific objectives for the way forward. This may include corrective or proactive training and the clearer these objectives are, the more likely that the employee will be successful in achieving them.

In advance of the evaluation meeting, managers and employees are welcome to contact their HR Advisor for support. For managers, this should almost be considered as a required process step where they anticipate having to deliver a particularly difficult performance review. Getting HR involved early can assist with the messaging and transition to a positive development/improvement plan.

From Probationary Period to PDP

All new employees and employees changing roles are required to complete a probationary period. For new MoveUp staff the probationary period is six (6) months, or three (3) months for current employees, for Administrators and Exempt employees the probationary period is twelve (12) months. For all probationary periods there is also an interim review half way through. Probationary periods allow managers to ensure that employees will be successful in their roles long-term and give formal opportunities to address concerns within the timeframe. It is important to note that managers should be addressing any performance concerns at the time of the event to ensure employees are aware and have the opportunity to correct the performance, and not wait until the end of the probationary period.

The PDP does not replace the probationary period. In order to be a continuous employee, all employees must successfully complete their probationary period. However, this does not mean that an employee cannot begin the PDP cycle while they are still within their probationary period. It is recommended that an employee complete at least three (3) to six (6) months in their current role before commencing the PDP process. This should allow enough time for the employee to get familiar with their role and the areas they can make an impact on.

Should the commencement of the PDP for an employee occur "off cycle" – meaning outside the normal cycle start date of September 1, the employee's cycle would be adjusted to end with the normal cycle end date of August 31.

Example: John Doe – MoveUp Staff Employee

- Hire Date: July 1, 2019
- Probationary Period: July 1, 2019 – December 31, 2019
- PDP Cycle for employees: September 1, 2019 – August 31, 2020
- PDP Cycle Start after six (6) months: December 31, 2019 – August 31, 2020

Example: Jane Deer – Exempt Employee

- Hire Date: July 1, 2019
- Probationary Period: July 1, 2019 – June 30, 2020
- PDP Cycle for employees: September 1, 2019 – August 31, 2020
- PDP Cycle Start after six (6) months: December 31, 2019 – August 31, 2020

Next Steps

The evaluation discussion provides the foundation for a restart of the performance cycle, setting agreed goals and activities in support of desired outcomes. As such, preparation for the evaluation meeting should include giving thought to goals for the next period of the performance and development cycle.

As noted above, in some instances goals are carried forward into a new cycle due to goal length or reprioritization. Additionally, some goals may not have been achieved due to performance or operational challenges faced by the employee. In these instances, it is expected that the parties will work together to develop a clearly defined performance improvement plan and build its completion into the overall performance cycle.

By systematically building time to discuss work effort and alignment to goals and objectives into our regular conversations, individuals and departments become more efficient and the performance culture of the University is enhanced. Perhaps more importantly, it reinforces our accountability to our students and the broader campus community.

Contact Information

Human Resources
604.986.1911 x 2098
hr@capilanou.ca

Erin McFadden
HR Manager, Development & Engagement
604.990.7923
erinmcfadden@capilanou.ca

Homewood Health (Employee and Family Assistance Program)
Available 24 hours a day, 7 days a week
1.800.663.1142
www.homewoodhealth.com