



Performance Management and Evaluations

July 27, 2026

Ground Rules

1. Participation is key
 2. Share problems, but focus on solutions
 3. Focus on problems, not people
 4. What is discussed in training, stays in training
 5. Share the air and allow others to participate
 6. Respect everyone's opinions and perspectives
- 

Icebreaker



Objectives

- Differentiate and highlight importance of performance management and appraisal
 - Walk through the performance management cycle
 - Review guidelines and expectations for 90 day and annual evaluation tools
 - Review guidelines and expectations of Work Improvement Plan (WIP)
- 

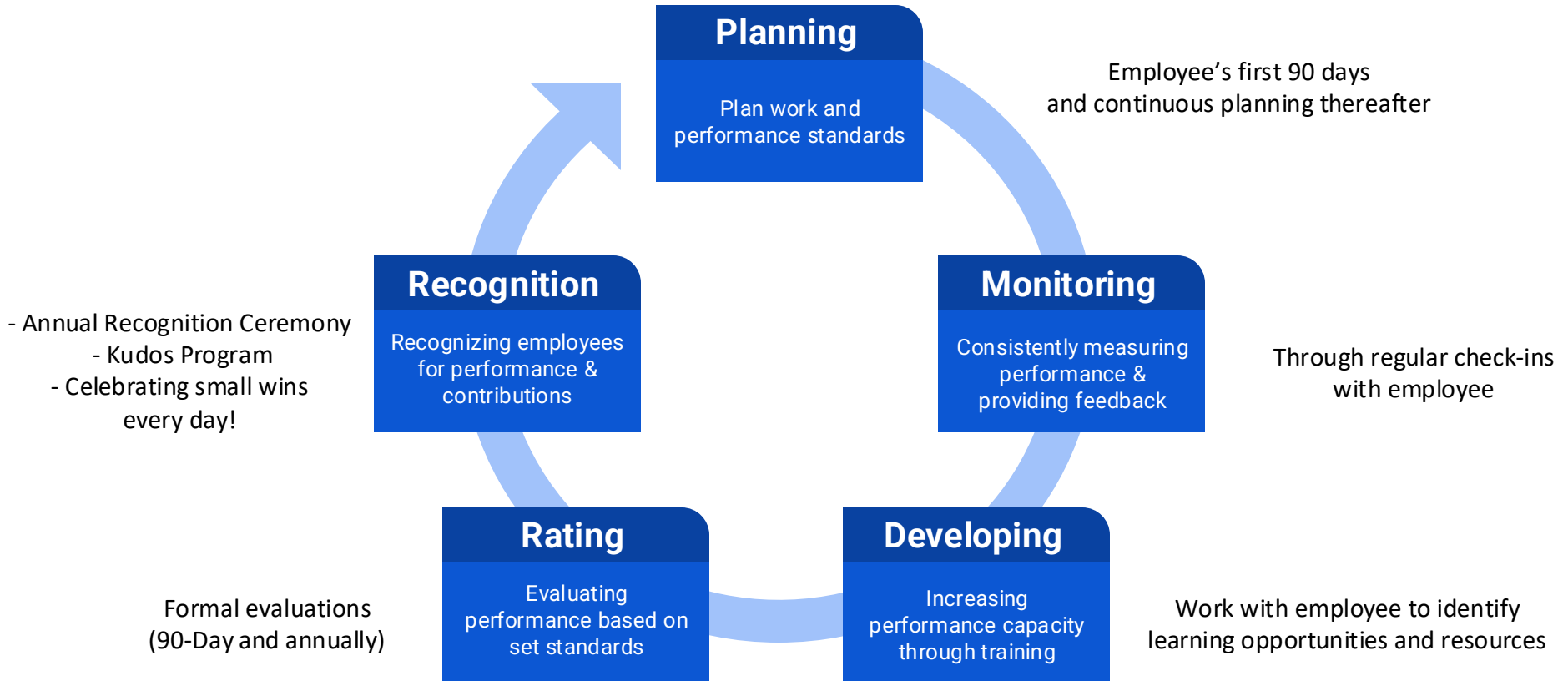
Types of Performance Evaluations

- 90-Day Evaluation
- Work Improvement Plan (WIP)
- Annual Performance Review

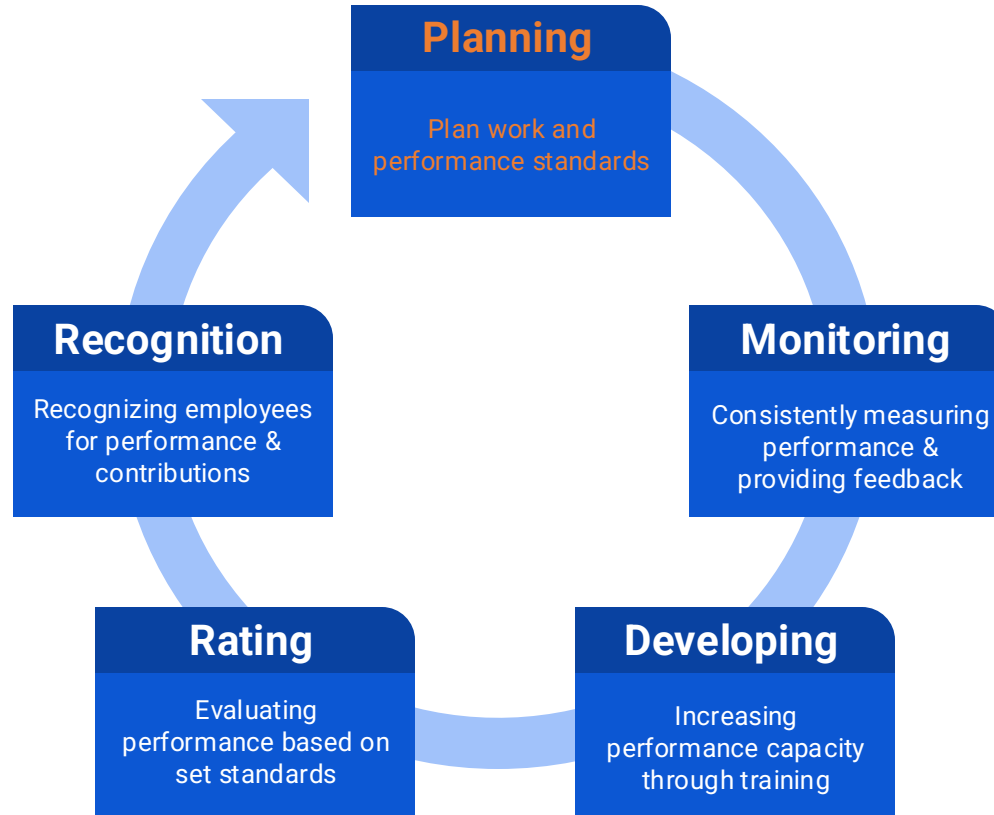
Work Improvement Plan			
Employee Name:		Supervisor Name:	
Department/Unit:		Length of Development Plan: (Please select one)	
Job Title/Position:		☐ 30 ☐ 60 ☐ 90 Days	
Issue	Goal	Action Step	Follow Up

UTICA UNIVERSITY		
ANNUAL PERFORMANCE REVIEW FORM		
Employee Name	Click or tap here to enter text.	
Department	Click or tap here to enter text.	
Job Title	Click or tap here to enter text.	
Supervisor	Click or tap here to enter text.	
Date of Review	Click or tap here to enter text.	
Annual Review Period	June 1, 2025 – May 31, 2026	
Instructions: This form serves to document both employee performance for the annual review period and the conversation between employee and supervisor that takes place regarding annual performance. For each section, please provide specific feedback (comments, examples, etc.) and a rating for that section. When all sections are completed, assign an overall performance rating for review period. If a particular section does not apply, simply mark "N/A" in the rating box.		
The performance rating categories are: • Outstanding • Meets Expectations • Improvement Needed (overall rating requires Work Improvement Plan) • Unsatisfactory (overall rating requires Work Improvement Plan)		
All completed employee reviews are to be submitted to the Office of Human Resources by a predetermined deadline that is communicated each year.		
Feedback Areas	Comments/Examples	Rating
Job-Specific Skills and Knowledge: Employee understands the job requirements and possesses the required skills, experience and specific content knowledge necessary to accomplish goals and achieve results.		
Quality of Work: Employee completes assigned work accurately, effectively and efficiently. Quality of work is consistent. Employee works in a fiscally responsible manner.		

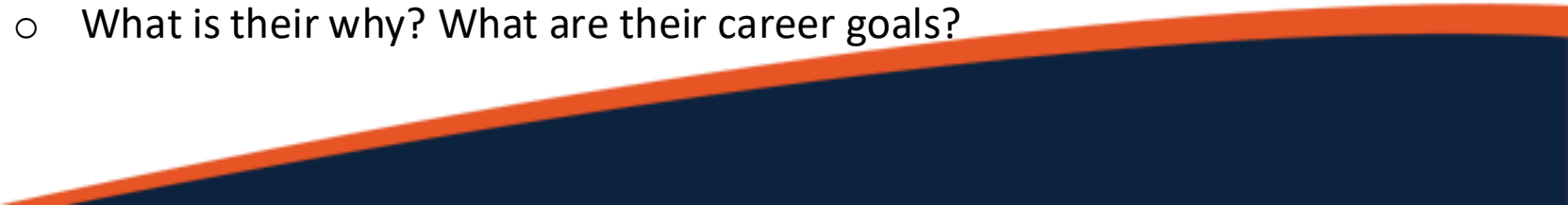
Performance Management Cycle



Performance Management Cycle



Planning...Where do you start?

- Work plans should be informed by...
 - Strategic Plan
 - Office/Department Assessment Goals
 - Personal Goals
 - Assessment goals should be informed by Strategic Plan
 - Personal goals may be informed by last year's performance evaluation but it can also be informed by a new employee's interview
 - What is their why? What are their career goals?
- 

Strategic Plan Goals

- **Showcase** the excellence of Utica University's **academic program** to attract and retain students.
- Intentionally shape and incrementally **increase enrollments** to improve total net tuition revenue.
- Strengthen the University's overall **financial resilience**.
- Enrich key aspects of the **student experience** to increase student **satisfaction**.
- Strengthen the University's planning processes and procedures to support **institutional improvement** and **sustainability**.
- Improve the **campus climate** for faculty and staff to increase **morale** and **retention**.

...and remember! Keep your goals S.M.A.R.T.

- **S**pecific
 - **M**easurable
 - **A**ttainable
 - **R**elevant
 - **T**imely
- 

“Lofty” Example

Goal:

“To be more fiscally responsible while maintaining quality of service.”

Issue:

Without breaking it down the S.M.A.R.T. way, this goal can feel overwhelming and unachievable.



“S.M.A.R.T.” Goal

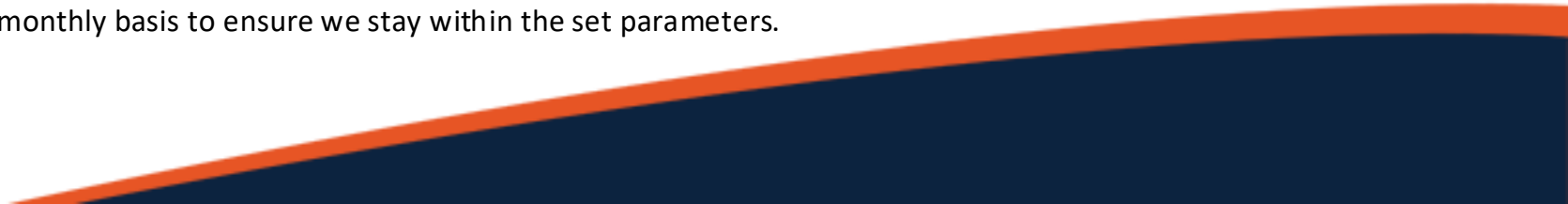
Specific: I will work with my team to identify cost saving or neutral opportunities that allow for my department to continue delivering the same quality of service.

Measurable: I will review last year's budget and expenses and compare them to anticipated costs for this fiscal year.

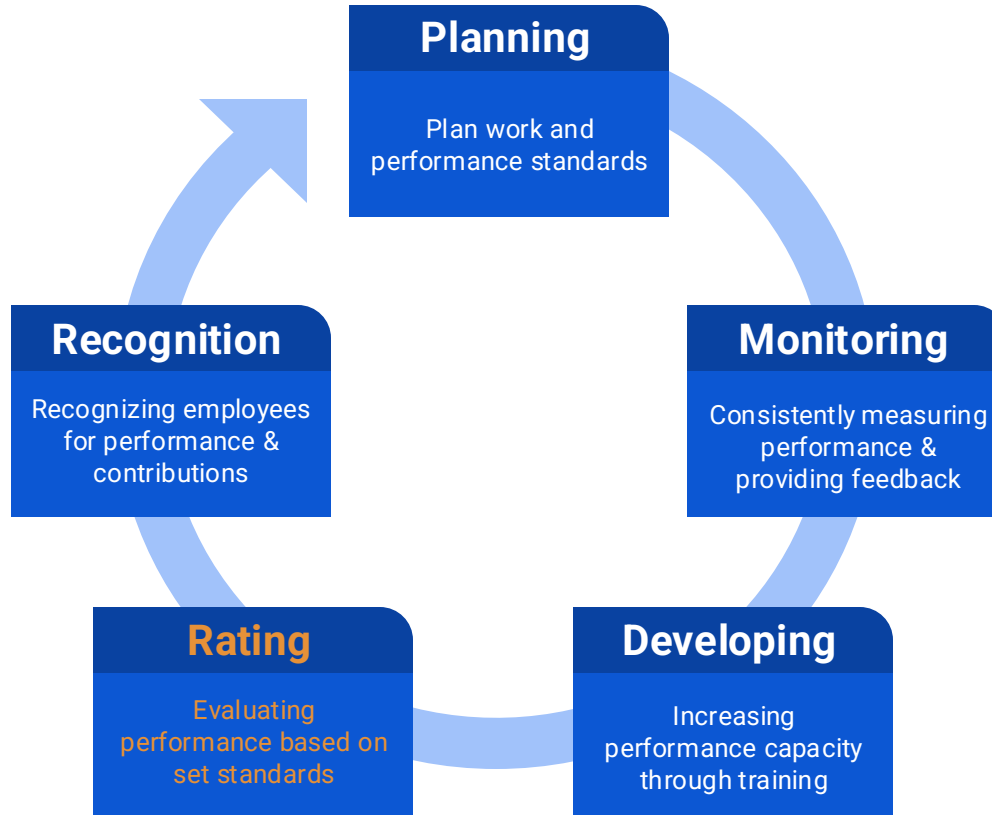
Achievable: I will take the budget comparisons and identify cost saving measures if possible, identify where we can remain budget neutral, and highlight areas of overspending.

Relevant: Based on projected numbers and identified areas of overspending, I will suggest ways to reduce costs to stay within budget and limit institutional debt.

Timely: I will review annual expenses to propose a budget for the upcoming fiscal year and review the budget on a monthly basis to ensure we stay within the set parameters.



Performance Management Cycle



Annual Performance Review



© Scott Adams, Inc./Dist. by UFS, Inc.

Dilbert by Scott Adams

Annual Performance Evaluation Forms and Instructions

- [Performance Review **Form**](#) & [Performance Review **Guide**](#)
- [Work Improvement Plan \(WIP\)](#)
 - “Needs Improvement” or “Unsatisfactory” ratings will require a WIP
- [Goals preparation worksheet/guide](#) (*optional*)
 - Report out on goal performance and future goals OR goal information can also be recorded directly in the review form

Annual Performance Appraisal

Review packets should include...

- Completed review form signed by both employee and supervisors
 - *Work Improvement Plan* (IF review states “needs improvement” or “unsatisfactory”)
 - Self-evaluation form completed by employee and discussed with supervisor
 - Assessment of goal outcomes for previous annual review period
 - New goals for following review period
- 

What's new this year?

Two new feedback areas:

- Communication
 - Open communication, effective listening, conflict resolution, service-oriented approach in work
 - Commitment to Institutional Effectiveness
 - Engagement in department and institutional assessment activities
- 

What's new this year?

Updated and standardized self-evaluation form

- Standardized form allows for consistency within the review process across departments
- Aids in creating a foundation for conversation during review between supervisor & employee
- Allows for employee buy-in and sense of ownership in their goals for the next review period

UTICA
UNIVERSITY

Employee Self-Evaluation Form

Employee Name

Department

Job Title

Supervisor

Annual Review Period

June 1, 2025 – May 31, 2026

Employee Instructions:
Please complete and return this self-evaluation to your supervisor at the time of your scheduled performance evaluation meeting.

Your thorough and timely participation in the appraisal process will help facilitate a fair and comprehensive review of your progress and accomplishments since the last performance review. If you have been employed at the University for less than a year, substitute references to "since the last performance appraisal/review" with "since you were hired" and answer the questions accordingly.

Self-Evaluation Questions:

1. List your most significant accomplishments or contributions since last year (e.g. projects, committees, goals achieved, etc.). How do these achievements align with the goals/objectives outlined in your last review?
2. Since the last appraisal period, have you successfully performed any new tasks or additional duties outside the scope of your regular responsibilities? If so, please specify.
3. How have you contributed to student success this year through your customer service efforts? Give example.

Self-Evaluation Questions

Include but are not limited to...

- List your most significant accomplishments or contributions...
 - How have you contributed to student success?
 - Describe your professional development activities
 - Goals for your next performance period
- 

Work Improvement Plan

Work Improvement Plan

Employee Name:

Supervisor Name:

Department/Unit:

Length of Development Plan: *(Please select one)*

Job Title/Position:

☐ 30 ☐ 60 ☐ 90 Days

Issue	Goal	Action Step	Follow Up

Work Improvement Plan

Length of Plan: Length should be reasonable and determined based on the number of items needing attention.

Issue: Clearly identify the work issue in this section and be prepared to give real examples. Examples are important and lend to the overall credibility of the plan.

Goal: Detail your expectations here. For example, if the issue is that an employee is behind in their productivity, the goal area should list what the expectation is in terms of productivity for the department or for that position. If the issue is associated with behavior, then the goal should detail the manager's expectation for appropriate behavior.

Action Step: This area should detail very specific actions the employee can take to help them attain the goal. For example, if the issue is associated with behavior, an action step could be to attend a course in communications skills and practice techniques with the manager or supervisor.

Follow-Up: This area is key and should include formal mechanisms for follow up with the employee to ensure that they are on the right track. For example, a manager or supervisor may institute formal progress meetings (weekly, bi-weekly) until the plan is successfully completed and beyond.

Work Improvement Plan

Things to Consider

Ask yourself...

- What is your goal with the WIP?
- Do you *genuinely* want this person to succeed?
- Are these expectations reasonable and achievable in a 30-90 day period?

Every situation is different!

- REMEMBER to consult with HR before delivering a Work Improvement Plan



What are your questions or roadblocks regarding the annual performance review process?

What Makes Up Performance?



Hard Skills (Technical) vs

- What you see “on paper”
- Learned through education or hands-on experience



Examples

- Data Collection and Analysis
- Computer skills
- Systems (e.g., BannerWeb, Engage, Navigate, Google, MicroSoft)

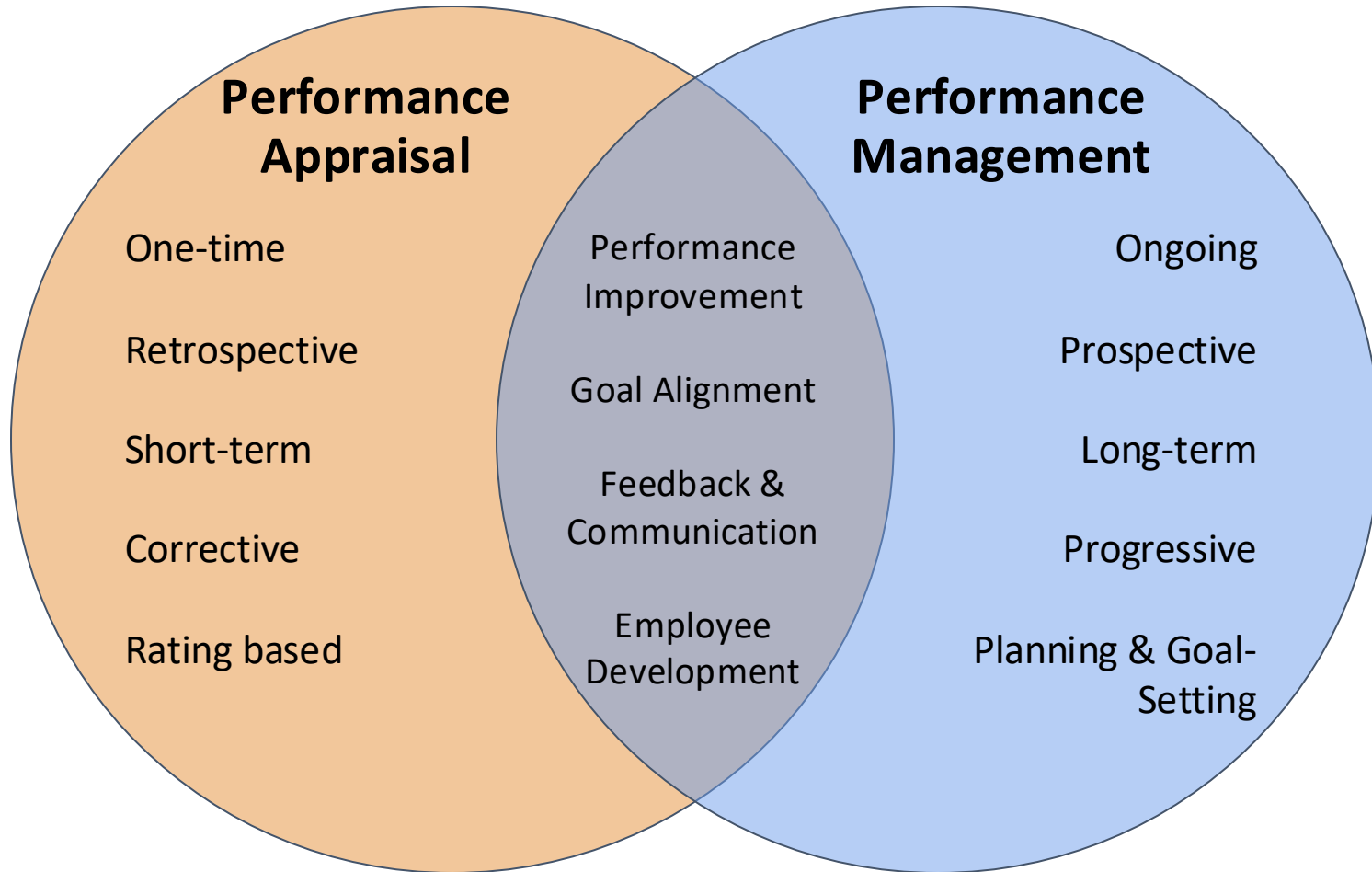
Soft Skills (Behavioral)

- Personal habits or character traits
- Not as easy to be taught, but with time and practice (and mentorship), can be improved!



Examples

- Critical thinking
- Teamwork
- Communication



Why Performance Conversations Can Be Hard

- Out of my comfort zone (ignore it and it'll go away)
 - What if it backfires?
 - Fear of being the bad person
 - Fear of being unfair (check yourself!)
 - Would rather find “workarounds”
 - Let it wait too long ... “I’M BUSY!”
 - Employee is a friend as well
 - Nice person, bad habits
 - I know the person has a medical issue (but does HR know?)
 - It’s not just about a form...it never ends
- 

Tips to Deliver Negative Feedback

1. Come from a place of care
 - “I’m saying this because I believe in you and what you’re capable of...”
 - “I’m giving you this feedback want you to succeed...”
 2. Come from a place of fallibility
 - “Is there anything I’m missing?”
 - “Is that how you saw things, or do you see things differently?”
 - “Is there anything I’m misinterpreting?”
 - “I’ve made this mistake before myself...”
 - “I may not have given you all the information...”
- 

Tips to Deliver Negative Feedback

3. Come from a place of Curiosity
 - “What do you think?”
 - “Was there anything that doesn’t seem clear to you?”
 - “What do you think both you and I should do to move forward?”

Most importantly...do not ignore it and hope it fixes itself!

“Conflict” → *opportunity* to erase tension



S

SITUATION

ABOUT THE CONTEXT

- Describe the situation.
 - Be specific. The goal is for the receiver to be clear about the time, place, and circumstances.
-

B

BEHAVIOR

ABOUT THE FEEDBACK RECIPIENT

- Describe the observable behavior. Keep it simple and descriptive.
 - Here's what I saw and / or heard — what a video recording would capture.
 - Avoid judgment. Do not talk about what you assume the other was thinking, or the motivation for the behavior.
-

I

IMPACT

ABOUT THE FEEDBACK GIVER, OTHERS, OR COLLECTIVE RESULTS

- Impact on you — what you thought and / or felt.
- Impact on others — how others reacted. Keep it factual.
- Impact on the results of the team, project, and / or organization.

Principles of Effective Communication with SBI Model

S: “You have been lagging behind in your emails over the past couple of months.”

vs

“You never seem to respond to emails.”

B: “You are missing student appointment requests to discuss changes in career goals.”

vs

“You aren’t doing your job.”

I: “Students who are looking to change their major are unable to get into the courses they need in a timely manner which is delaying their graduation timeline.”



GREAT
JOB!



NICE
WORK!

Why do performance
conversations matter?

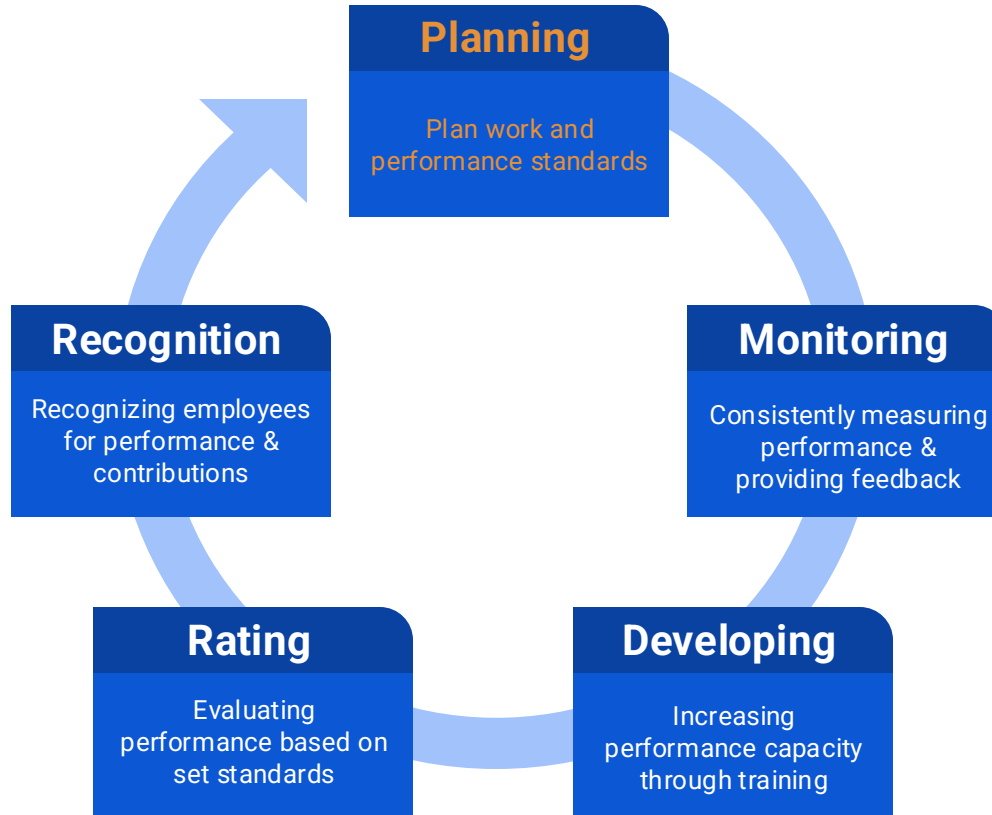


AWESOME



EXCELLENT!

Performance Management Cycle



90-Day Evaluation

Employee & Supervisor Check-In

- Provide feedback and address any early concerns
 - Supervisor should ask where they can help their employee continue on the path of success
 - Identify training and professional development opportunities
 - What can we do to improve?
- 

90-Day Evaluation



90-DAY INTRODUCTORY PERFORMANCE REVIEW FORM

Employee Name	
Department	
Job Title	
Supervisor	
Date of Review	
90-Day Review Period	

Instructions:

This form serves to document employee performance for the 90-day introductory period. This period is where new employees can demonstrate their ability to achieve satisfactory performance levels. The purpose of the 90-day review is to communicate expectations, performance appraisal, and identify needs for resources or support.

For each section, please provide specific feedback (comments, examples, etc.) and a rating for that section. When all sections are completed, assign an overall performance rating for review period. If a particular section does not apply, simply mark "N/A" in the rating box.

The performance rating categories are:

- Outstanding
- Meets Expectations
- Improvement Needed (extension of 90-day introductory period strongly encouraged)
- Unsatisfactory (extension of 90-day introductory period strongly encouraged)

All completed employee reviews are to be submitted to the Office of Human Resources once the new employee has reached their 90-day period.

FEEDBACK AREAS	COMMENTS/EXAMPLE	RATING
Job-Specific Skills and Knowledge: Employee understands the job requirements and possesses the required skills, experience and specific content knowledge necessary to accomplish goals and achieve results.		

Quality of Work: Employee completes assigned work accurately, effectively and efficiently. Quality of work is consistent. Employee works in a fiscally responsible manner.		
Communication Employee facilitates open communication, demonstrates effective listening skills, constructively provides feedback, and takes appropriate action to address and resolve conflict. Employee cultivates relationships that leverage expertise.		
Leadership Ability Employee identifies, establishes, and articulates clear goals. Understands resource needs relative to goal achievement and effectively balances competing priorities. Promotes a work environment of mutual trust and respect. Inspires others to achieve. Leverages positive relationships to improve institutional performance. NOTE: For those who have supervisory responsibility, please comment on the employee's ability to effectively lead and motivate people and/or teams.		
Commitment to Continuous Improvement Employee shows evidence of a commitment to continuous improvement including, but not limited to, professional development activities.		
Commitment to Fostering an Inclusive Environment Employee shows evidence of a commitment to fostering an inclusive environment which includes, but is not limited to, active engagement in institutional cultural and celebratory events and programming that honor the many identities present in the University community.		

GOALS & OPPORTUNITIES FOR IMPROVEMENT

COMMENTS/EXAMPLES

Opportunities for Continual Improvement Identify areas for professional and personal growth and development. List areas that may require training. List activities employee can engage in to foster continual learning (reading, webinars, mentoring with supervisor, etc.)	
LIST GOALS FOR UPCOMING PERFORMANCE YEAR:	

Overall Performance Rating (check one):

- ☐ Outstanding
☐ Meets Expectations
☐ Improvement Needed*
☐ Unsatisfactory*

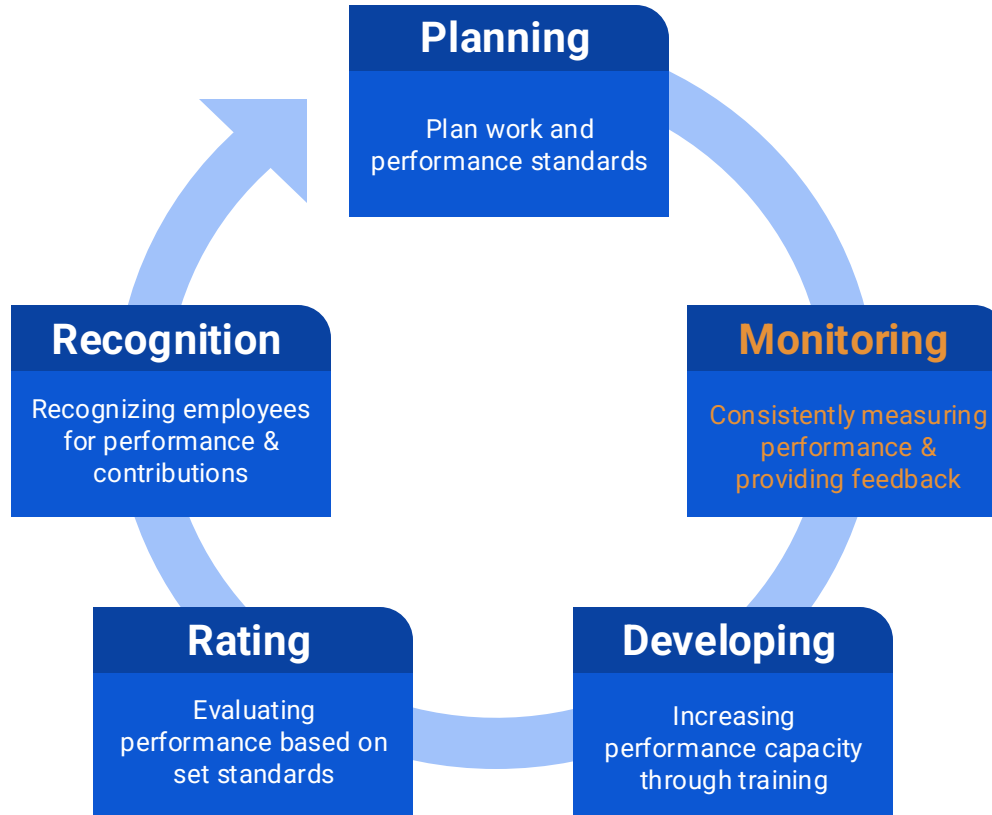
*If performance needs improvement or is unsatisfactory, the introductory period may be extended up to an additional 90 days. This will require consultation between the supervisor and Office of Human Resources. The extension period will then be communicated to the employee.

Additional Supervisor Comments:

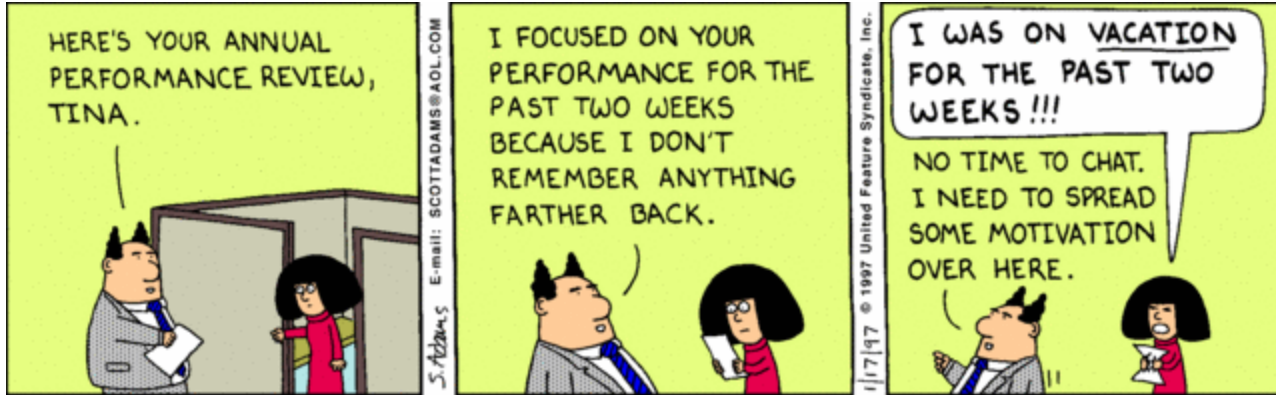
What happens after the 90
days?



Performance Management Cycle



Do Not Lose Sight of the Goals!



Annual Performance Review: Dilbert By Scott Adams

The Power of 1:1 Meetings

1. Do you hold regular meetings?
2. Do you feel like they are valuable? If so...why not?

Ineffective 1:1s

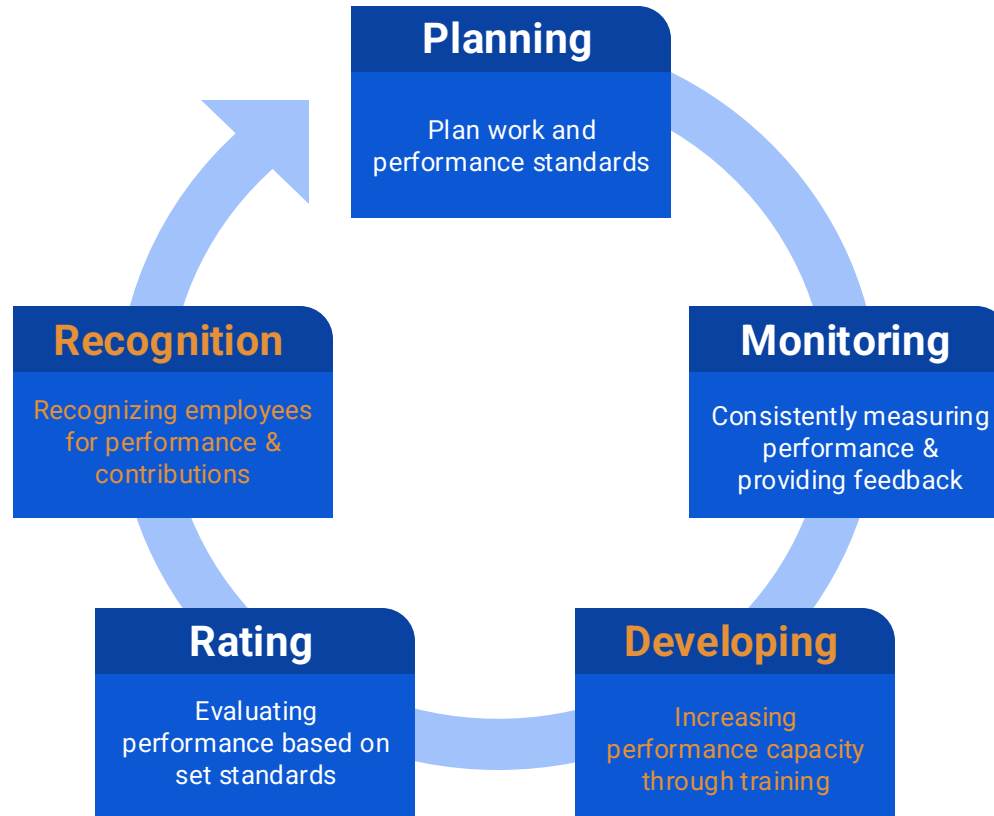
- Status updates with no real conversation
 - A runthrough of to-dos and no room for conversation regarding progress, roadblocks, goals, and direction
- Agendas...
 - Does not exist on either end
 - Is one-sided
 - Is 100% task focused
- Time not being valued
 - Meetings are rushed, rescheduled, and treated as a box checked

Tips for an *Effective* 1:1 Meeting

Instead of... → Try...

- **Checklist of items** → connect work to growth and purpose
 - These tasks tap into x skill...what can I do to help you sharpen that skill?
- **Shallow conversations** → get to genuinely know your employee and take interest in their long term goals
- **Dominating the conversation/agenda** → let the employee take the driver seat
 - What's on your mind? Tell me more...(and give them the space they need!)
- **Casual conversation with no actionable items** → hold *each other* accountable
 - Keep record of your conversations to follow up on loose ends and ensure you are both on the same page.

Performance Management Cycle



Where are these forms online?

www.utica.edu/hr

More Resources

Important Information

[Compliance Notices](#)

[Employee Handbook](#)

[Policies and Procedures](#)

[Health and Wellness](#)

[Human Resources Procedures](#)

[Search Committee Resources](#)

[Forms and Instructions](#)

Working at Utica

[Training and Development](#)

[Employee Recognition](#)

[Employment Opportunities](#)

Performance Evaluation Forms/Instructions

[90-Day Review Form](#)

[2025-2026 Performance Review Memo](#)

[Performance Review Guide](#)

[2025-2026 Performance Review Form](#)

[2025-2026 Self-Evaluation Form](#)

[SMART Goals Preparation Worksheet](#)

[Work Improvement Plan](#)

[Performance Conversation Preparation Worksheet](#)

[University Engagement and Professional Development Portal](#)

...and don't forget!

The [Employee Handbook](#) is a great starting point for information

- Hiring & onboarding
 - Performance reviews
 - Compliance policies
 - Absence from work policies
 - Benefits
 - Personal code of conduct
 - Separations & retirement
- 

Questions?



Supervisor Pain Points



Contact us at ANY time!

Office: 124 Addison Miller White Hall

Email: hr@utica.edu | **Phone:** (315) 792-3276

THANK



Resources

Center for Creative Leadership:

[Use Situation-Behavior-Impact \(SBI\)[™] to Understand Intent](#)

Certified Human Resource Management Professional:

[Performance Management vs. Performance Appraisal: A Comprehensive Guide](#)

LinkedIn:

[Hate delivering negative feedback at work? 19 phrases to help make giving difficult feedback easier](#)

