



UNAM project 511109-TEMPUS-1-2010-ES-JPGR

"Promoting the modernization and strengthening of institutional and financial autonomy in Southern Neighbouring Area higher education institutions"

Comparative analysis of financial management practices, Genova, 12-15 April 2011

IMPLEMENTATION OF THE CYCLE OF PERFORMANCE IN THE LEGISLATIVE DECREE N. 150/2009 AT THE UNIVERSITY OF GENOA.

**System of measurement and evaluation of the performance
Performance plan**

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PERFORMANCE

The performance is the contribution (outcome and way of achievement of the outcome) that an entity (person, group of people, organizational unit, organization, program or public policy) provides through its action for the achievement of the aims and objectives and, in the last resort, the satisfaction of needs for which the organization was created.

F. Monteduro, Il ciclo di gestione delle performance

PERFORMANCE

Measuring the performance means:

- *set goals;*
- *fix some “quantities”, that is to say indicators which are a faithful mirror of themselves?;*
- *note systematically (at defined time intervals) the value of the indicators.*

Evaluating the performance means:

- *interpreting the contribution (outcome and way of achievement of the reached outcome) ;*
- *explain how much, in which way and why this contribution has affected the level of achievement of the organization’s goals.*

ASSUMPTIONS

NORMATIVE BACKGROUND

LEGISLATIVE DECREE N. 150/2009 - “BRUNETTA” REFORM

The administrations must annually evaluate the **organizational and individual performance**, by adopting a **performance measurement and evaluation system**.

The measurement and evaluation of the performance aim at improving the quality of services provided by the public administrations, as well as the growth of professional skills, through the valorization of the merit and the granting of rewards for the outcomes pursued by individuals and organizational units, in a framework of equality of rights and obligations, transparency of the results achieved by the public administrations and of the resources used to this end.

DELIBERATION CIVIT? NO. 9 OF 12 MARCH 2010

PROVIDES

- that Universities aren't compelled to establish the independent evaluation bodies, as in chapter 14 of the legislative decree no. 150/2009,
- that, starting from 30 April 2010, the evaluation activity continues to be carried out by the Assessment Boards under the law no. 537/1993, as integrated and amended by law no. 370/1999,
- that Universities are recipient of the new rules laid down by law no. 150/2009 on collective bargaining, and therefore are called to carry out, in complete autonomy and with own organizational methods, procedures for the structure and staff evaluation, in order to promote the merit and the improvement of the organizational and individual performance, also through the use of selective reward systems;

HOPES FOR

- a fast definition (establishment) of the modalities of connection with the activity entrusted to the National Agency for the Evaluation of University System and Research (ANVUR), as soon as the Regulation on the structure and functioning of the Agency is adopted, and the governing body has been established.

LAW NO. 240/2010 - “GELMINI” REFORM

FORMALIZES

[] the assignment to the Assessment Board in connection with the activities carried out by ANVUR, of the functions provided for in Article 14 of Legislative Decree 27 October 2009, No 150, concerning the structures and staff evaluation procedures, in order to promote the merit and the improvement of individual and organizational performances in the University, in complete autonomy and with its own organizational methods.

GUIDELINES ON METODOLOGY (not directly applicable to University)

- Deliberation no. 89 CIVIT on performance measurement and evaluation system
- Deliberation no. 112 CIVIT on the performance plan

NATIONAL EXPERIENCES

- Action Learning Project *“The application of the “Brunetta” reform in the Universities”* organized by the School of Management of the Polytechnic of Milan (MIP)
- Project CAF University *“Improving Higher Education Institution through self-evaluation”*, promoted by the CRUI Foundation

THE PREVIOUS SYSTEM ADOPTED IN THE UNIVERSITY

- Criteria adopted by the Administration Board in the sessions of 15.12.2009 and 17.2.2010 for the evaluation of managers
- *Evaluation system of the technical - administrative staff*, enacted by the decree of 26 May 2010 by the General Manager
- **Both systems have been integrated in the new performance measurement and evaluation system**

ACTIVITIES

PREPARATORY ACTIVITIES

ANALISI

- “focus” on the principles contained in the decree no 150/2009 and the indications CiVIT (not directly applicable to Universities)
- Identification of the specificities characteristic of the Universities
- Internal analysis (mapping of existing systems) and gap analysis with respect to the normative and guidelines (establishment of a permanent monitoring system)

PROPOSTA

- Setting up of the “organizational model” (correlations, relationships and way of functioning of the different units/subjects involved: technical structure, relationship centre - edge??, federation of the existing management controls, etc)
- Proposal of a measurement and evaluation system

ATTUAZIONE

- Identification of the implementation plan of what defined previously (identification of priorities and time for the implementation)
- Fulfillment and implementation
- Monitoring (through checking systems)

ACTIVITIES

ATTI FORMALI

- To adopt a **performance measurement and evaluation system** by 31.1.2011;
- To adopt the **performance plan** by 31.1.2011;

ORGANIZZAZIONE

- To provide the necessary organizational and informative support;

MIGLIORAMENTO

- To evaluate the impact of the application of the system, identify the critical situations and correct them.

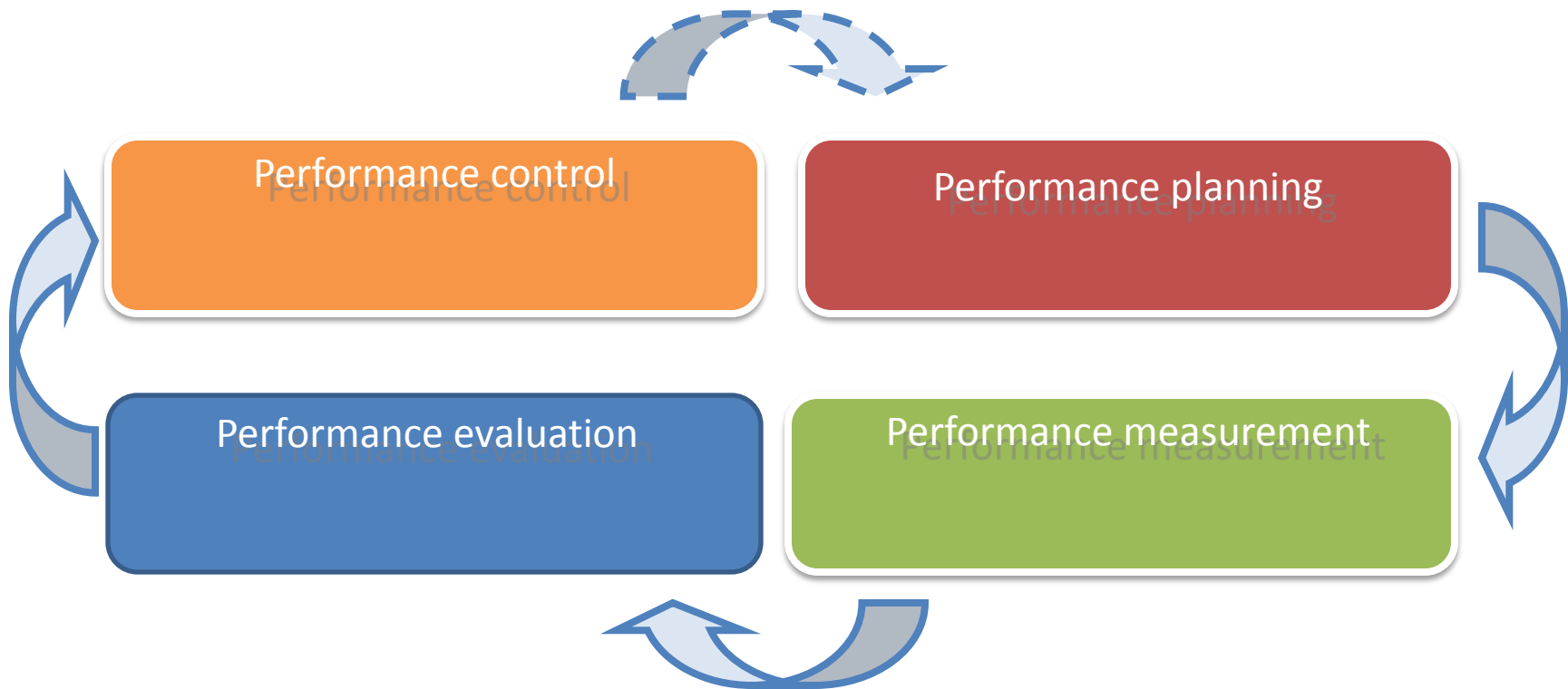
THE CYCLE OF PERFORMANCE

PHASES OF THE ORGANIZATION PLANNING

The performance management cycle

- a) defining and assigning the goals to be reached, the expected outcome values and their indicators
- b) link between the goals and the resources allocation;
- c) ongoing monitoring and activation of corrective actions, if necessary; measurement and evaluation of organizational and individual performance;
- d) use of rewarding systems, according to criteria of merit valorization;
- e) reporting of results to political and administrative authorities, management summits, as well as competent external institutions, citizens, stakeholders, users and recipients of services.

PHASES



SUBJECTS

ANVUR (National
Agency for the
Evaluation of
University system
and research)

**Directs, coordinates
and supervises**

**Assessment
Board**

**Monitors the
functioning of
evaluation;**

**Detects critical
situations;**

**Approves the
report on
performance;**

**Ensures the
accuracy of
measurement
and evaluation
processes**

**Administration
Board**

**Issues general directives
with strategic purposes;**

**Defines performance
Plan and Report;**

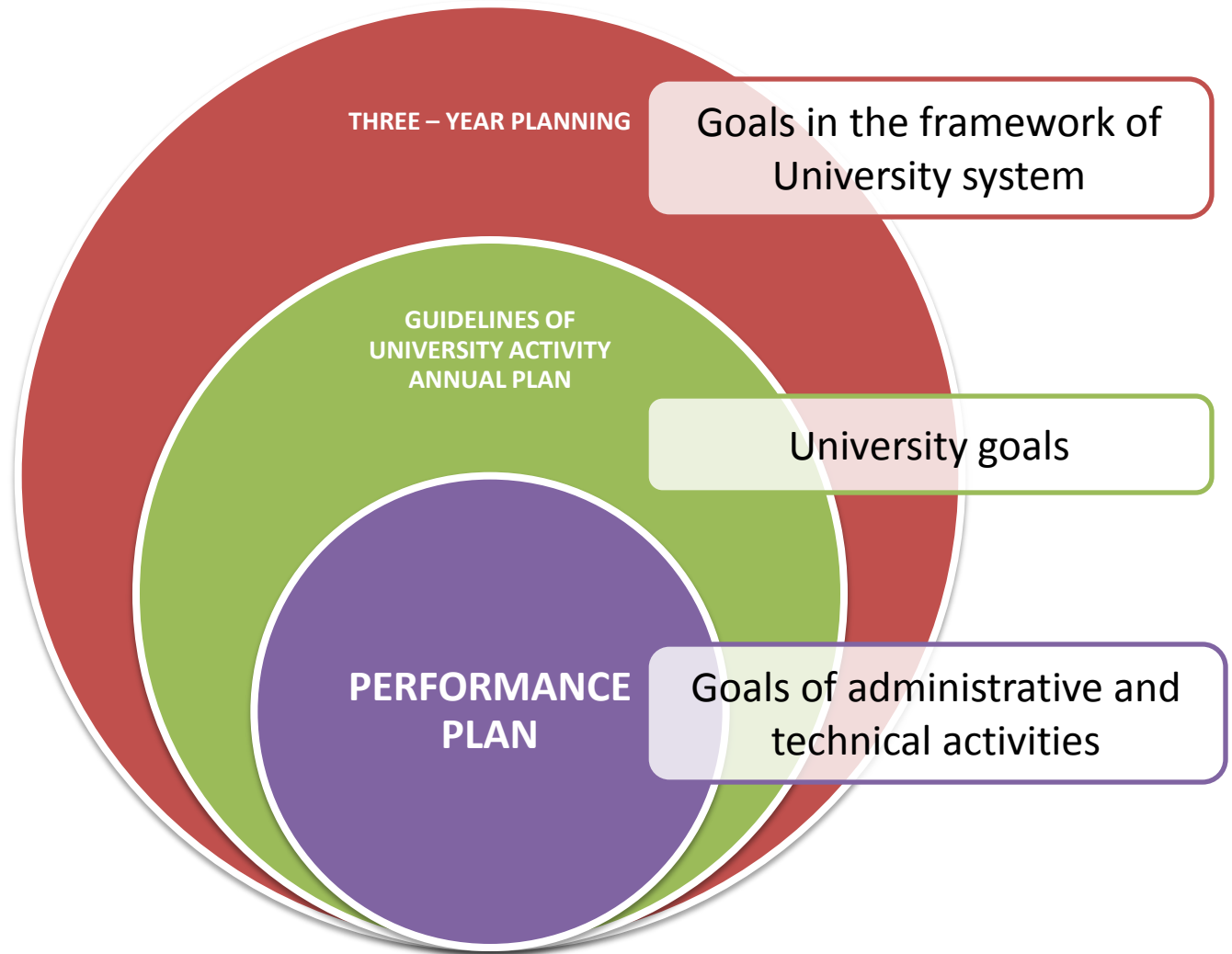
**Carries out check on the
achievement of strategic
goals.**

Management

Administrative staff

PLANNING

Performance measurement and evaluation system



ORGANIZATION TOOLS

Performance measurement and evaluation system

It defines:

- a) phases, times, methods, subjects and responsibilities of the performance measurement and evaluation process, in accordance with the provisions of the above-mentioned decree;
- b) the conciliation procedures regarding the implementation of the performance measurement and evaluation system;
- c) the modalities of connection and integration with the existing checking control systems;
- d) the modalities of connection and integration with the financial and account planning documents.

It affects:

- a) implementation of policies for the final satisfaction of collectivity needs;
- b) implementation of plans and programs, in other words the measurement of the actual degree of their implementation, in accordance with the phases and deadlines, defined quality and quantity standards, the expected level of resources consumption;
- c) the detection of the degree of satisfaction of the final users of the activities and services provided, also through interactive modalities;
- d) the modernization and quality improvement of the organization and of the professional skills and ability to implement plans and programs;
- e) the qualitative and quantitative development of relations with citizens, stakeholders, users and recipients of services, also through the development of forms of participation and collaboration;
- f) efficiency in the use of resources, with particular reference to containment and cost reduction, as well as optimization of administrative procedures timing;
- g) quality and quantity of the services provided;
- h) the achievement of the equal opportunities promotion goals

DOCUMENTS

a three-year planning document, by January 31, called **Performance Plan**, to be adopted in accordance with the content and the cycle of financial and budget planning, which identifies the strategic and operational goals and defines, with reference to the final and intermediate goals and to resources, the indicators for measuring and evaluating the performance of the administration , as well as the goals assigned to managerial staff and related indicators

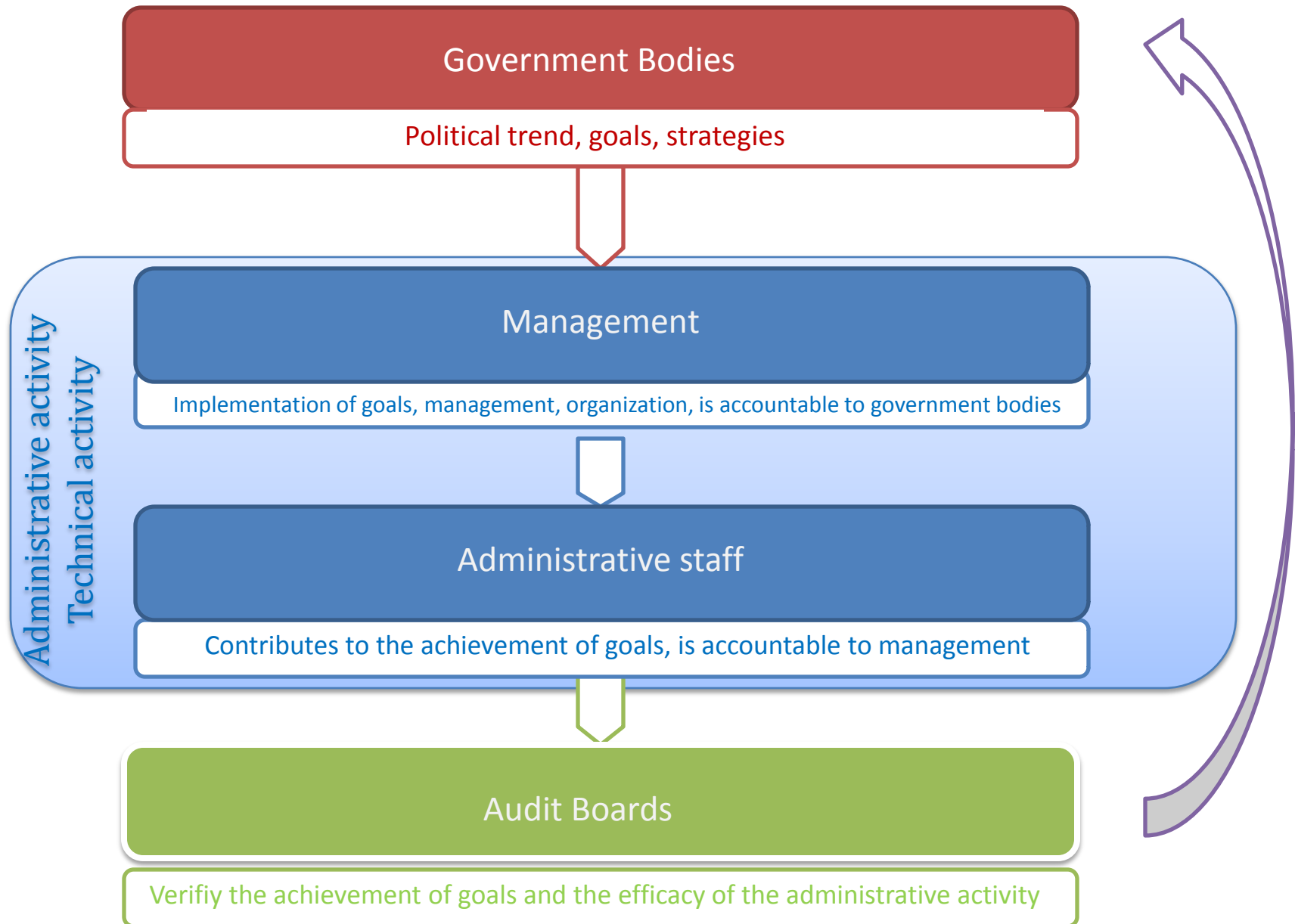
a document, to be adopted by June 30, called **Report on performance** which shows “ex post”, referring to the previous year, the organizational and individual results achieved respect to the planned goals and resources, with detection of possible deviations, and the account made.

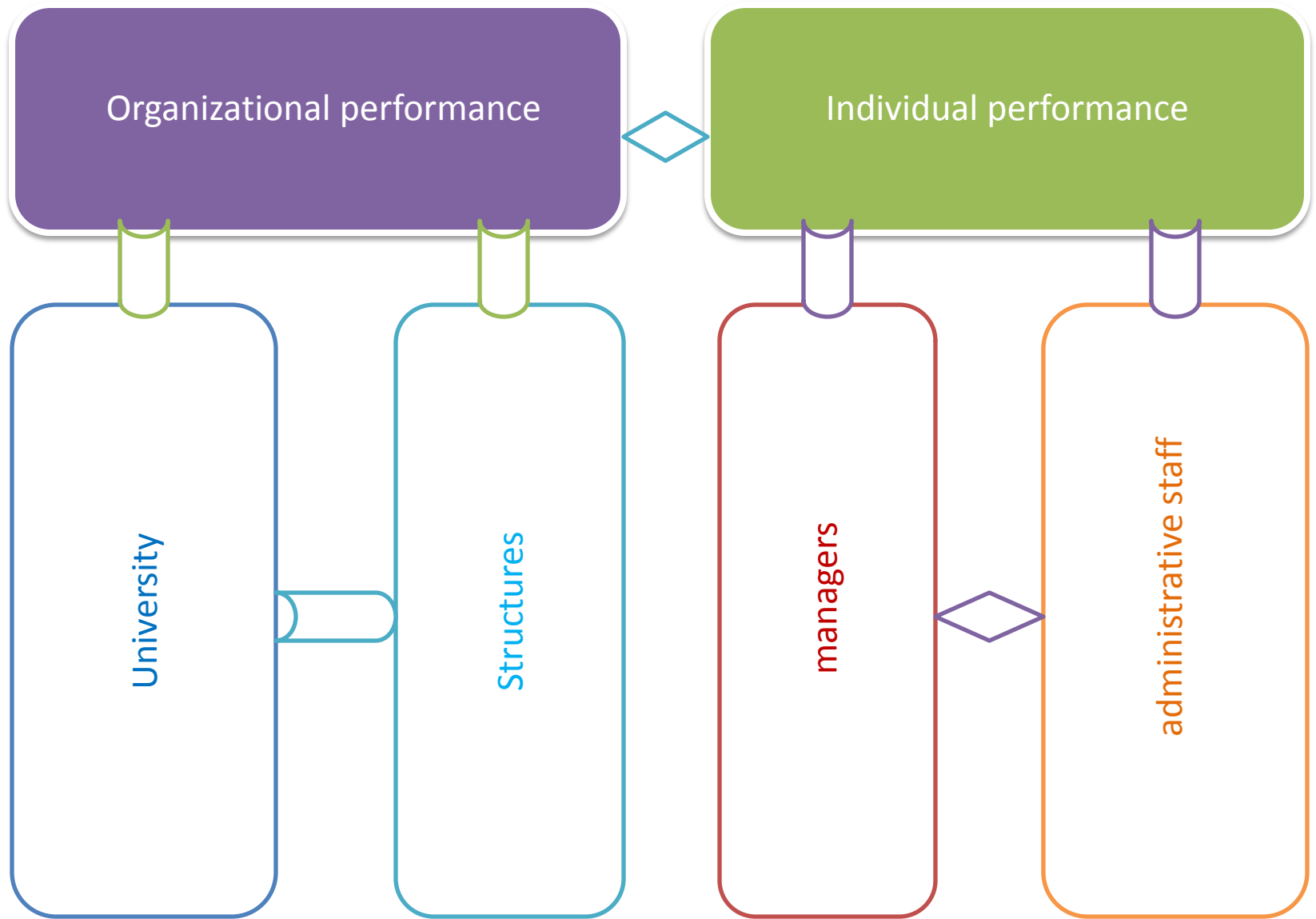
CHARACTERISTICS OF THE GOALS

The goals are:

- a) significant and relevant to the needs of the community, institutional mission, political priorities and administration strategies;
- b) specific and measurable in concrete and clear terms;
- c) such to determine a significant improvement in the quality of services provided;
- d) referred to a determined period of time, usually an year;
- e) commensurate with reference values derived from standards set at national and international level, as well as comparisons with similar administrations;
- f) comparable with the productivity trend of the administration with reference, where possible, to the last three years, at least;
- g) correlated to the quantity and quality of available resources.

ORGANIZATIONAL AND INDIVIDUAL PERFORMANCE







ORGANIZATIONAL PERFORMANCE

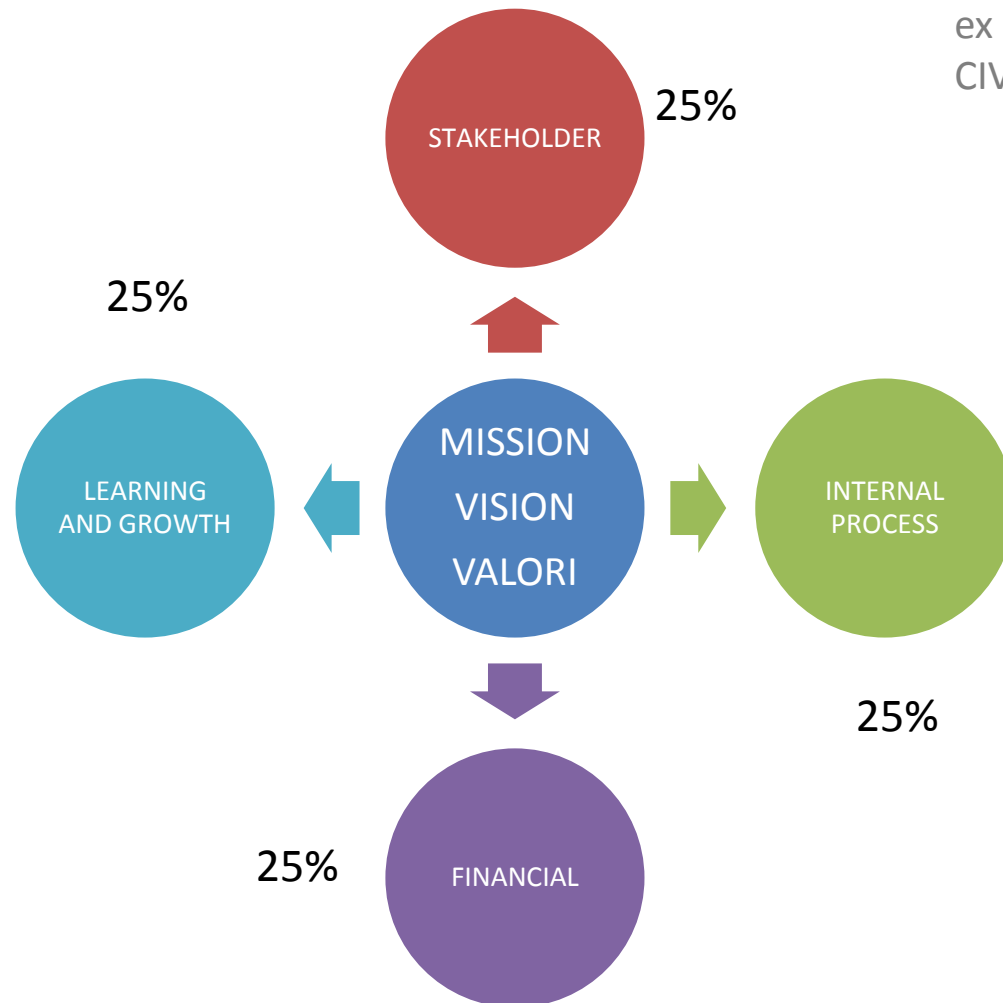
The organizational performance is used to:

- improve, once fully operational, the system of identification and communication of the objectives;
- verify that the objectives have been achieved;
- inform and guide the decision-making process;
- manage in a more effective way both the resources and organizational processes;
- influence and evaluate the behaviour of groups and individuals;
- strengthen accountability and responsibility at different organizational levels;
- encourage continuous improvement and organizational learning.

ORGANIZATIONAL PERFORMANCE

Balanced ScoreCard

ex deliberation n. 89
CIVIT



EFFICIENCY

It can be defined as the ratio between quantity and quality of resources used (inputs) and quantity and quality of services provided (output).

EFFICACY

Ratio between the planned goals and goals achieved (management efficacy)

As relationship between the changes obtained in the reference needs for effect of the services provided and the entity and characteristics of the needs (social efficacy)

PERFORMANCE MANAGEMENT

Also defined as “acting upon performance information”.

It includes:

- Performance measurement (information);
 - Collection and systemic analysis of information about certain types of performance (span & depth);
 - Cost-benefit analysis of performance measurement systems;
- Performance management (action)
 - Inclusion and utilization of information on performance in decision-making

INDIVIDUAL PERFORMANCE

The assessment of individual performance is an organic and systematic procedure whose finality is to ensure that each employee regularly receives a feedback in order to identify and assess, according to standard criteria, his/her performance and professional skills manifested in the execution of work.

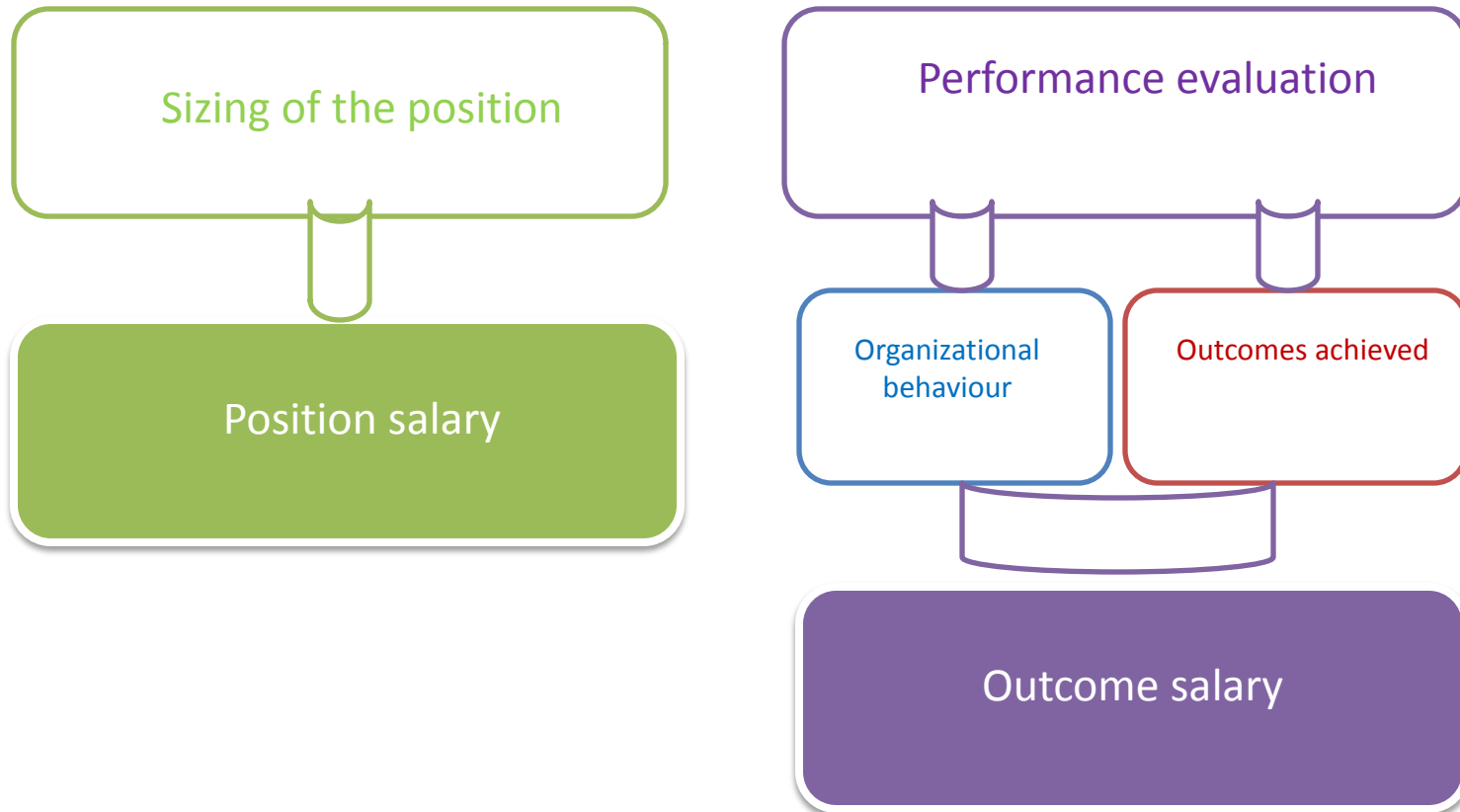
INDIVIDUAL PERFORMANCE *MANAGERS*

The evaluation of manager positions, performance and results is aimed at the accountability and the development of a outcome-oriented model.



INDIVIDUAL PERFORMANCE

MANAGERS



PARAMETERS FOR WEIGHING POSITIONS

MANAGERS

- a) responsibility correlated with the position
- b) Competences requested by the position
- c) Leadership and managerial complexities requested by the position

PARAMETERS FOR PERFORMANCE ASSESSMENT *MANAGERS*

1. organizational behaviour: group of observable behaviours belonging to the sphere of influence and relevance of the organizations in which they are enacted, and therefore contribute to make the action more effective/appreciated in the context of that organization (Pieri). **It always is a qualitative assessment and it also can be assessed through self-evaluation methods (for example, the so-called critical incident) and it includes the individual contribution to the attainment of the structure's goals.**

2. attainment of individual results: on the basis of existing services improvement and of activation of new services. **It always is a quantitative assessment.**

SUBJECTS

MANAGERS

Managerial offices: Central Administration Departments, CSITA (University Telematics and Computer Service Centre).

Responsible for assessment: the administrative board on a proposal by the General Manager after validation by the Assessment Board

PHASES OF THE PROCEDURE

MANAGERS

1. **definition and planning of goals:** assignment of specific goals by the administration manager to the managers;
2. **Monitoring during the procedure:** to be carried out care of the General Manager, approximately halfway through the budget year, with the goal of isolating possible critical situations and of solving them by re-defining the chrono-programme assigned to the goal on the basis of its subdivision into activities or by re-defining the goals, after a control by the Administration Board of their consistence with the University guidelines;
3. **Assessment of performances** through the use of pre-arranged parameters and reports.

THE GUARANTEE COMMITTEE

MANAGERS

members

a) A Chairperson chosen among:

- Judges
- State lawyers
- Academics having specific qualification in Public Administration and public employment
- Ministry General Managers

b) Two members, one of which must be

- A General Manager or a Manager of a different University
- A Ministry Manager

procedure

a) upon a request from the Administrative Board and from the General Manager, it expresses not binding advices; if 30 days have elapsed without any advices being expressed, advices are supposed to be positive;

b) it checks possible observations from the managers, within 15 days after the approval, on the assessment and it expresses a binding opinion on the subject, after hearing the person concerned, if necessary with the support of a trade union representative or of a procurator

INDIVIDUAL PERFORMANCE

TECHNICAL-ADMINISTRATIVE STAFF

Assessment of technical-administrative staff performances and results is aimed at the employees' professional growth and at the progressive improvement of their performances, through a higher participation from them to the attainment of the goals of the University



SUBJECTS

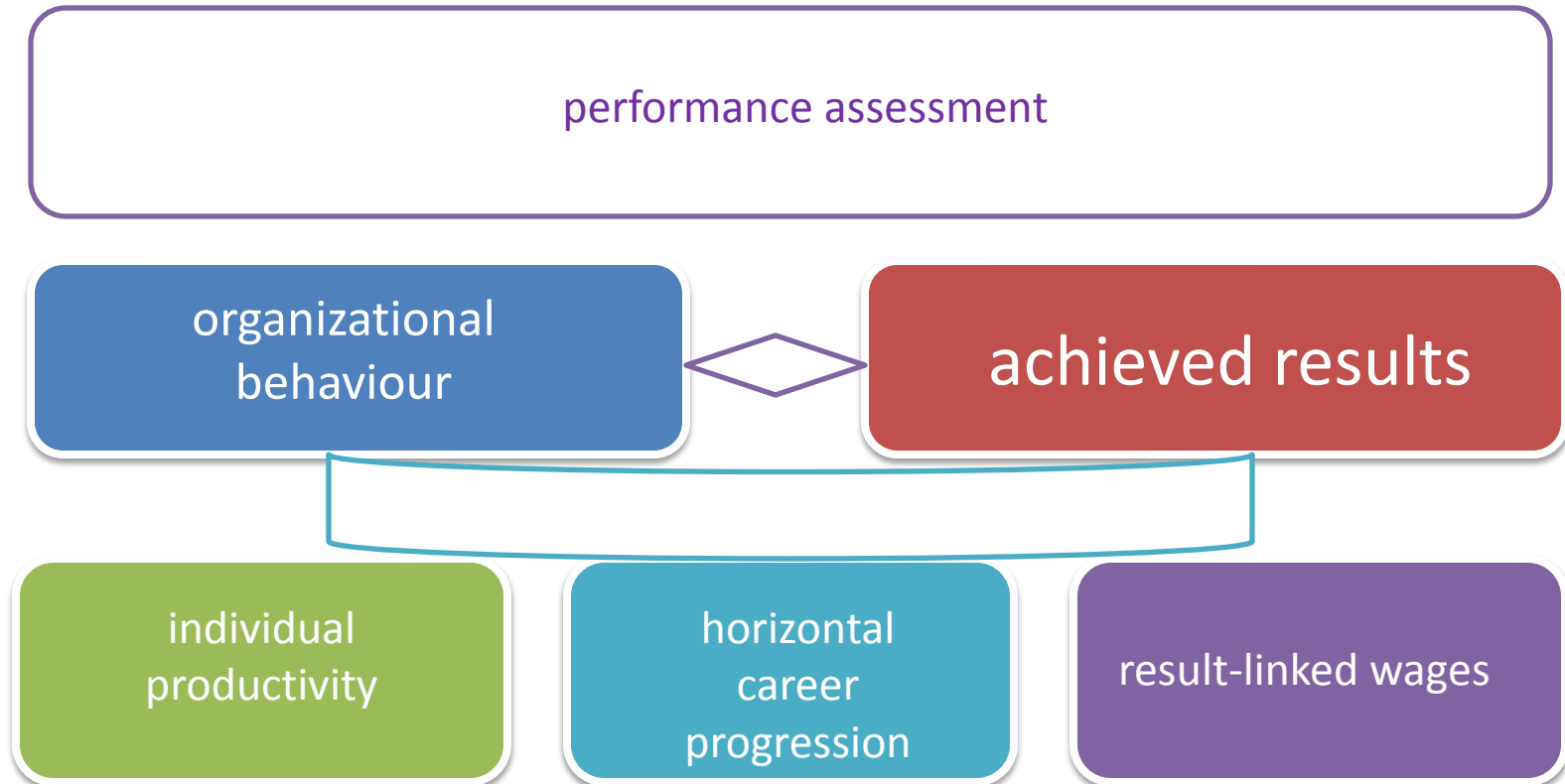
TECHNICAL-ADMINISTRATIVE STAFF

ORGANIZATIONAL UNITS: Departments, Service Centres, Central Administration sectors, University Telematics and Computer Service Centre sectors.

PERSON IN CHARGE OF THE ASSESSMENT:
the person in charge of the structure

INDIVIDUAL PERFORMANCE

TECHNICAL-ADMINISTRATIVE STAFF





PERFORMANCE ASSESSMENT PARAMETERS

TECHNICAL-ADMINISTRATIVE STAFF

1.organizational behaviour: group of observable behaviours belonging to the sphere of influence and relevance of the organizations in which they are enacted, and therefore contribute to make the action more effective/appreciated in the context of that organization (Pieri). **It always is a qualitative assessment and it also can be assessed through self-evaluation methods (for example, the so-called critical incident).**

2.individual contribution to the attainment of the organizational unit common goals: descriptors regarding the assessed person's contribution, with regards to their abilities, to the attainment of the structure's goals. **It can be a qualitative or quantitative assessment. At the moment it is qualitative.**

3.attainment of individual results: descriptors regarding the assessed person's diligence, with regards to their abilities. **It can be a qualitative or quantitative assessment.**



DEFINITIONS

TECHNICAL AND ADMINISTRATIVE STAFF

EVALUATED: all the staff belonging to technical and administrative staff in permanent and temporary service.

STAFF OF CATEGORY B, C,D WITHOUT POSITIONS OF RESPONSIBILITY: All the staff of category B, C, D who haven't received a position of responsibility in the reference period under Article 38, CCI

STAFF OF CATEGORY EP, D WITH POSITIONS OF RESPONSIBILITY: Only the staff of category D who have received a position of responsibility by the General manager in the reference period , all the staff of category EP.



INTERMEDIATE CONTACT PERSON: the previous responsible in case of a new nomination of the actual responsible, or in case of the evaluated , in the reference period, has done his job at another office.

(Head of Sector/Service for the management offices of the Administrative Direction, the General Manager for the administrative staff belonging the Departments and the faculties, laboratory heads for the technical staff belonging the departments).



PHASES OF THE PROCEDURE

- I) definition and communication of the goals to be achieved
- II) Monitoring and ongoing checking
- III) Formulation and communication of evaluation

GUARANTEE COMMITTEE

The committee can submit its own comments to a guarantee committee within 15 days.

components

A component nominated by the Equal Opportunities Committee

A representative nominated in a permanent way by the technical – administrative staff for each of the following areas: administrative and administrative-managerial, technical and data processing, general services, library, health.

a manager appointed permanently by the General manager as Chairman

procedure

At the session for the exam of the comments take part:

The manager, as chairman

A representative of the technical and administrative staff of the area to which belong the employee who submitted his/her comments

A component designed by the Equal Opportunities Committee.

The Committee examines the evaluation dossier and the minutes of the communication of evaluation. Also the person who has been evaluated, as well as the evaluator, may be listened by the Committee, if necessary.

Outcomes

The committee by majority may postpone the evaluation dossier and the summary report to the evaluator. In case of equality of votes, that of the Chairman will prevail.

The committee, unanimously, may change the evaluation dossier and revoke the evaluation.

CONCLUSIONS

Since 2011 is the first year of implementation of the performance management cycle, the procedures scheduled in the performance measurement and evaluation system will be implemented gradually.

The University of Genoa, therefore, will implement gradually the system and, on the basis of the critical situations highlighted by the users or of the new normative trends, will make any necessary adjustment.