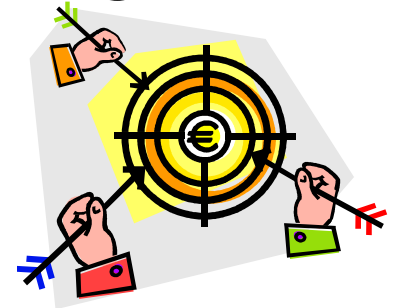# Effective Performance Evaluations

Objectives

- Understand the importance of providing meaningful feedback to employees
- Learn how to adequately prepare and plan for the appraisal
- Understand your role and responsibility in conducting performance reviews
- Be able to identify essential elements of an effective performance appraisal
- Understand all components and ratings
- Understand how to complete an appraisal form

Performance Management Cycle

Organization

Vision

Mission

Core Values

Strategic Plan

Planning

Job Description

Essential Functions

Expectations

Goals

Support

Feedback

Tools, Systems

Training

Review

Performance

Development Plans

Recognition

Why?

- HR makes us!
- Great motivational tool for employees
- Enables employees to see how they added value to the department
- Strengthens overall relationship between supervisor and employee
- To determine developmental needs & set goals
- To determine eligibility for annual salary increases
- Rarely, as evidence in defending against employment–related lawsuits

Who must be evaluated?

- All full-time staff
- New hires with start dates **prior to** April 1 of the current year
  - Employees hired <u>after</u> April 1 will only receive a 90-day evaluation
  - HR sends link to access the 90-day evaluation form to supervisor

When is the evaluation due?

▸ All evaluations must be completely through the process by JULY 31

- Employee completes self-evaluation form and gives to supervisor by May 31
- Supervisor accesses the evaluation form and attaches employee self-evaluation
- Documents the achievements
- Completes the assessment of all Goals, Performance Indicators, Discipline
- Meets with the employee
- Completes the manager's and employee's signatures

Where do I create & deliver evaluations?

▸ Create them using the evaluation form; see link on HR web site

▸ Deliver in meeting with employee
  ▪ Away from supervisor's office
  ▪ Quiet, confidential place
  ▪ No phones or other interruptions
  ▪ Plan on 30–45 minutes for review and discussion
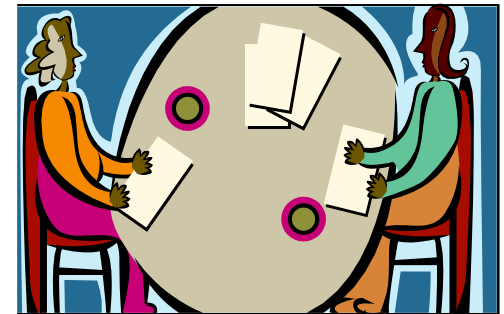
How do I create & deliver them?

- During the year--
    - Jointly establish goals in July review or in Aug/Sept follow-up meeting
    - Keep examples of employee's achievements such as reports, presentations, budget, training, projects, awards, certification
    - Ask employees to provide written quarterly updates
    - Meet monthly for updates with new hires or struggling employees
    - Keep notes from meetings, correspondence from/to or about the employee
    - Retain copies of performance documentation for discipline or recognition

Preparation

- Gather/Access and review the following:
  - Job description (review also for cleanup/updates)
  - Current goals, any Level I or II discipline, notes, documentation in file
  - Employee self-appraisal
    - Found on HR web site
    - Sent by HR each May
  - Think about and note:
    - Contributions employee made?
    - Goals achieved? Why or why not?
    - Any training/development completed or needed?
    - Strengths of the employee we can build on?
    - Desired results/outcomes from appraisal meeting?

Goals

- Why are goals important?
  - Focus employee's mind in right direction, i.e., what are the expectations?
  - Effective tool for measuring progress
- Review goals from this year
  - Which were attained? How? How well?
  - Were any partially attained? What contributed to this?
  - Will any be carried over for the coming year?
- Decide how to approach goal-setting for next year
  - Jointly develop & agree upon goals in Review
  - SMART: **S**pecific, **M**easurable, **A**chievable, **R**elevant, **T**ime-based
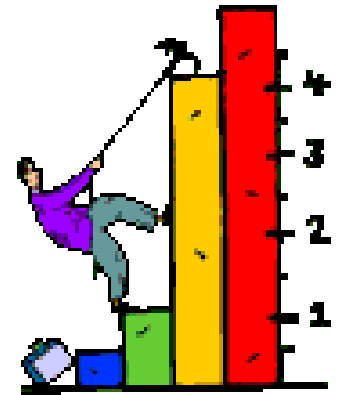
Sample SMART GOALS

- Evaluate and improve internal processes for better service to employees [vague]
  - By December 15, develop a recommendation to reduce by 3% employee complaints about rudeness and lack of knowledge in Human Resources Dept. [better…specific, measurable, etc.]
- Curtail socializing during work hours
  - Not a goal; this is a behavior issue to address!
- Play a key role in the transition to System X
  - By October 1, create a project checklist for all tasks to be completed by the three libraries to convert to System X

Achievements

- Note contributions that support the employee's performance and college goals
- May appear as items under Achievements or as comments with Performance Indicators
  - Certifications, licenses, degree, conference presentations, awards, article published in journal, elected as officer
  - Created new programs, decreased student complaints, initiated outreach to…, collaborated to create …, improved a process, reduced expenses for…, negotiated lower cost, designed landscaping, implemented a new system, solved a problem, chaired a committee, etc.

Performance Indicators

- All Staff Employees
  1. Essential Job Functions (greatest consideration)
  2. Customer/Client Service
  3. Communications
  4. Decision Making/Problem Solving
  5. Initiative
  6. Balance of Quality and Quantity of Work
  7. Demonstration of Core Values
- Staff Supervisor Additional Indicators
  8. Effective Hiring
  9. Performance Management
  10. Teambuilding
  11. Delegation

Feedback statements

- Words/phrases to **avoid**
  - performs well when he's on his meds
  - "good," "good job" or "does well" repeated for every Performance Indicator
  - needs to do better
  - poor attitude
  - not a 'people person'
  - doesn't care about the students' needs
  - great job on the budget
  - provides excellent customer service
  - would be liked better by the team if she didn't have tattoos

Feedback statements

- What to **include**
  - specific examples, numbers, behaviors
  - consistently smiles and treats students with courtesy even in extremely busy work times
  - frequently heard to complain about work schedule, supervisor, work environment, pay scale
  - training resulted in 7% decrease in errors
  - usually answers phone with smile in her voice
  - creates graphs and charts that accurately and clearly depict the department's results
  - received numerous compliments about …

Discipline Actions

- All Level I and Level II disciplinary actions must be noted in this section of the evaluation

- Improvement in behavior/performance should also be noted in relevant PI and/or in Manager's Comments at end of Assessment

- Coaching activity is **NOT** part of the formal disciplinary process and will not be listed here

- Coaching activity related to any Performance Indicator could be noted in Comments section of appropriate PI

Assessment: Rating Labels

- **Three options for Goals, each Performance Indicator, and Overall ratings**
  - Exceeds Expectations (3)
  - Meets Expectations (2)
  - Does Not Meet Expectations (1)

- **Exceeds Expectations**– Performance clearly and consistently exceeds basic job expectations or requirements and is described in terms such as "successful," "impressive," or "very effective."

- **Meets Expectations** – Performance consistently meets (and may occasionally exceed or fall below) basic job expectations or requirements and the employee is making positive, consistent progress.

Rating Scale

- **Does Not Meet Expectations–**
  - Performance does not consistently meet expectations or standards or the employee is not making progress;
  - the employee received multiple Level I actions without significant improvement/change; or
  - the employee received a Level II disciplinary action during the performance period.
  - An **Overall** Rating of DNME must be reviewed first with HR, and documentation of problems and discussions with employees must exist; this rating renders employee ineligible for salary increase

Performance Ratings

▸ Does Not Meet Expectations
  - "often misses deadlines" or "marginal accuracy"
  - "occasionally violates Core Value …"
  - "frequent arguments with office staff"
  - "must often be reminded of process steps…"
  - "accuracy has improved slightly"

▸ Meets Expectations *[does not require comment]*
  - "progressing as expected for being new in position"
  - "has substantially reduced number of errors in reports"

▸ Exceeds Expectations
  - "consistently provides excellent service"
  - "frequently produces above-average…"
  - "impressive results due to her suggestions to… "
  - "successfully managed the implementation of…"
  - "his creativity is often visible in the outstanding …"

Overall rating

- Consider all Performance Indicators, Achievements, and Goals completion.
- How is this employee performing overall?
  - Consistently at an excellent level?
  - S/he has performance issues, still usually below basic job requirements?
  - Solid performer? Progressing/improving?
- One or more individual PIs may be DNME but Overall may be Meets Expectations..*except EJFs*
- Overall DNME should not be surprise to employee!
- Overall DNME renders employee ineligible for pay raise; remember to discuss rating with HR prior to meeting with employee

Common problems

- Lack of frequent communication during the year leads to surprises, frustration, disagreements, hostility, …
- No goals established
- Failure to obtain input from others about the employee's performance
  - Changed jobs or supervisors during year
  - Works at another campus
- Not preparing for the discussion
- Not preparing the employee for the discussion
- Halo/Horns effects

Halo and horns effects

- Horns –
  - One mistake or problem, especially late in year
  - Impossibly high standards, not agreed upon early
  - Bad chemistry between supervisor and employee
  - Bad reputation or department head dislikes
- Halo –
  - Great results in recent task
  - Personal friendship
  - Desire to avoid conflict and/or hurt feelings
  - Outstanding in one major area; supervisor fails to see poor/marginal performance in other areas
  - Similar values, beliefs, background
  - Good reputation, performance history

Meeting with the Employee

- Inform the employee well in advance of date, time, room location and what will take place
- Remind employee to complete self-evaluation form and send to you by the end of May; request additional comments via email:
  - Overall, how do they feel about the past year?
  - What are they most proud of?
  - What do they see as an area needing improvement?
- Consider giving employee copy of your completed evaluation to review in advance of your meeting
- Include discussion of self-appraisal

Meeting…

- Avoid promising promotion or job security
- Never apologize
  - "Own" the review; the comments, decisions are yours
  - Don't blame more senior managers!
- Handle difficult questions
  - Anticipate if possible and plan responses
- When an employee disagrees with appraisal
  - Listen to his/her message (the self-evaluation may have given you a hint of disagreement)
  - Respond with candor and facts
  - Advise him/her that a written response can be written in the evaluation; give the employee a one-week deadline to comment and sign the evaluation
  - Change the verbiage or the rating? Rarely!

Meeting…

- Ask employee for feedback about you
  - How can you help improve her performance?
  - What would he like you to do differently or to continue doing?
- Summarize discussion and plans, actions, and next year's goals
- Thank employee for discussion and the year's performance
- Remind employee to **sign the evaluation form online**
  - S/he will receive an email notice when you "sign"
  - Employee adds comments and "signs"

Resources

- For general questions about the form, performance evaluation wording, goal setting or delivering message in meeting, contact your campus HR Consultant.

- For assistance with the form in the system, Tonya Jacobson.

- http://www.collin.edu/perf_mgmt/index.html