

University of Louisville Human Resources Staff Development & Employee Relations



Management Guide for Performance Appraisals Fall 2011 – Spring 2012

Table of Contents

Introduction.....	3
University Policy.....	4
Timetable for Performance Appraisal Processes.....	6
Key Elements of Appraisal Document.....	7
Providing Feedback	12
Performance Appraisal Rater Biases.....	13
SMART Goals.....	14
Frequently Asked Questions.....	15
Additional Resources.....	16

Introduction

The ability to provide timely and well reasoned feedback to employees is critical in the development of a quality workforce that supports the goals and mission of the University of Louisville (<http://louisville.edu/about/mission.html>). Supervisors have a unique opportunity to directly impact the work of the unit, the success of its employees, and ultimately, their own success. This is both a privilege and a responsibility.

The Performance Management Program is comprised of several different components, including the performance evaluation. The performance evaluation cycle includes four components: establish, plan, monitor and evaluate.

Establish. Create Clear Performance Factors/Goals

Creating clear job performance factors/goals ensures that employees understand the evaluation criteria. Supervisors should be honest and direct with employees regarding job expectations. Clear expectations help employees succeed in their positions. The importance of appropriately communicating **what** needs to be done, **how** it needs to be done, and **when** it needs to be done cannot be overstated. Employees cannot be expected to succeed if supervisors fail to give the parameters by which success will be measured. It is not necessary to micro-manage performance of tasks; instead provide clear examples as to what needs to be accomplished. Expectations should be aligned with the employees' job description and should be provided in writing to the employee.

Monitor. Observe Performance

Once employee expectations have been established, it is the supervisor's responsibility to appropriately monitor and coach the employee. Feedback, for both successes and opportunities for improvement, should be documented and provided to employees throughout the year. It may also be necessary to clarify expectations at various times throughout the evaluation year. Effective feedback is essential so that employees will not be surprised during the evaluation review.

Evaluate. Provide Objective Assessment of Performance

The evaluation provides documentation of the employee's performance throughout the year. Completion of the evaluation should be a simple process if the supervisor has provided timely feedback, kept accurate documentation of both successes and areas that need improved, and communicated with the employee. It is important for employees to have a voice in the evaluation process. To assist in facilitating this process, employees will be provided the opportunity to complete the Employee Self Appraisal Form.

Plan. Develop Job Factors/Goals and Objectives for the New Year

During the annual evaluation, a key component is discussing and planning expectations for the upcoming year. In order to best determine expectations going forward, supervisors should revisit the previously established job factors/goals and make modifications as necessary.

PER-2.13 May 1, 1992 Performance Appraisal**I. POLICY AND/OR OBJECTIVE**

- A. Performance appraisals may be used for but are not limited to the following:
 - 1. establishing goals and objectives for job performance;
 - 2. informing employees of strong and weak points, training needs or expected improvements, and suggested methods for improvement;
 - 3. determining the employee's eligibility for performance pay increases;
 - 4. recognizing an employee's potential for promotion;
 - 5. serving as a basis for disciplinary action; and
 - 6. assisting in determining the order of layoff and reinstatement.
- B. Written job descriptions and job performance factors and performance standards should be given to and discussed with the employee when he or she assumes the position. Job performance factors are to be updated and discussed with the employee whenever there is a significant change in job duties.
- C. A written appraisal of each employee's work performance shall be made at least annually. Semi-annual or mid-year performance reviews are encouraged.
- D. A provisional status employee will receive a progress report every two months during the provisional employment period. A written performance evaluation will be provided prior to the completion of the provisional employment period, based upon the job factors established for the position.

II. PROCEDURE

- A. To assist supervisors in preparing for and conducting performance appraisals, the Staff Performance Appraisal Form and the ratings scale are available.
- B. With the exception of the pilot performance appraisal projects authorized by Human Resources, all performance appraisals shall be made by the employee's immediate supervisor, on the university Performance Appraisal Form, and shall be reviewed by the next higher level supervisor. The immediate supervisor's evaluation is final, but the higher level supervisor shall signify his or her review and may attach written comments, which should be shared with the employee.
- C. Classified and Professional/Administrative employees' performance shall be appraised 30 days before the end of their provisional employment period. If the employee's service is unsatisfactory, the employee should be terminated before the end of the provisional employment period. Employees retained beyond the provisional employment period will be granted regular status. Copies of the appraisal are to be submitted to the Human Resources Department.
- D. All staff personnel are to be evaluated in writing between January 1 and March 31 of each calendar year. Copies of the appraisal must be submitted to the Human Resources Department.
- E. Performance appraisals may be conducted for classified or professional/ administrative staff at any time. When an employee's performance is first recognized as less than satisfactory and is not resolved through informal discussion, the supervisor must prepare written performance appraisals on a regular basis as described in paragraph F below, until the employee's performance improves or he or she is dismissed.
- F. While each employee's performance shall be appraised at least annually, any appraisal related to pay-for-performance recommendations must be completed within six months of the submission of the recommended increase.
- G. Additional questions can be directed to Staff Development and Employee Relations at either 852-6536 or 852-6538.

PERFORMANCE IMPROVEMENT PLAN

After receiving a less-than-satisfactory written appraisal, an employee shall be reevaluated at least once every 30 calendar days up to a maximum of 90 calendar days until:

1. the employee's performance has improved and is evaluated as at least satisfactory; or
2. the employee is terminated.

After the immediate supervisor completes a written appraisal, he or she shall discuss the results with the employee. The employee will be provided an opportunity to sign the evaluation form. Should the employee refuse to sign the appraisal, a notation shall be made on the form. Employees shall be permitted to submit written statements of disagreement that shall be attached to the appraisal form within two calendar weeks. A copy shall be given to the employee and the evaluation shall then be filed in the department with a copy forwarded to the Human Resources Department.

The Staff Development and Employee Relations Office must be notified whenever an employee receives an unsatisfactory performance appraisal.

Time Table for Performance Appraisal Processes

All newly hired employees serve a provisional employment period of six months. The provisional employment period is designed to give the University an opportunity to determine whether the employee is suitable for and competent to perform the work for which he or she is hired (PER - 1.08, Employee Categories and Status).

First day of Employment

Supervisors should review the position description, set job expectations, and provide employees with written copies of job descriptions as well any specific expectations and/or goals.

Two and Four Month Progress Reports

Per university policy (PER 1.08), each provisional status employee will receive a progress report every two months during the provisional employment period. The progress reports should occur at the end of the second and fourth months of employment. If job performance or job-related behaviors are satisfactory, these progress reports provide an opportunity to reinforce positive employee contributions. If suggestions for improvement are needed or performance is unsatisfactory, this should be documented and discussed with the employee.

Evaluation Upon Completion of the Six Month Provisional Period

Each employee will receive a written performance evaluation prior to the completion of his or her provisional employment period, based upon the job performance factors established for that position. This evaluation should summarize job performance and job-related behaviors during the first six months of employment.

Mid-Year Evaluation

The mid-year evaluation is an optional way to provide employees with mid-point feedback and to clarify and assess how employees are progressing and define areas needing improvement. Job factors/goals can be reviewed as well.

Annual Evaluation

The annual evaluation form provides supervisors the ability to review performance, recognize contributions, identify areas for improvement from the previous year, and set job factors/goals moving forward into the upcoming year.

All annual evaluations are due in Human Resources by a date to be determined by the VPHR.

Modify Job Factors/Goals

Provides an opportunity for the supervisor to redefine an employee's job factor or goal when there is a change that modifies a portion of their job or the way a factor is performed i.e., technology changes, etc.

Performance Improvement Plan (PIP)

If at any point during the course of the year an employee's overall performance falls below satisfactory or needs improvement, a performance improvement plan (PIP) must be completed. Please contact the Staff Development and Employee Relations Office for guidelines concerning the PIP.

Key Elements of Appraisal Document

Performance Management and Staff Development Plan

Please review each section of the new evaluation form. After each section, use the space provided to familiarize yourself with the new form.

Employee Self Appraisal Form

Provide the employee with a copy of the previous year's job factors/goals and the Employee Self Appraisal Form. Invite the employee to complete the self appraisal form in advance of your evaluation.

Performance Rating Scale

This scale provides the descriptors which should be utilized in rating employees on the individual job factors and goals established with the employee at the beginning of the evaluation period. This rating scale should also be used to determine the employees' overall performance rating.

Performance Rating	Definition
Outstanding (O)	Exhibits imagination and critical thinking; positively influences the nature of the position. Exhibits the highest level of competency in current role on a consistent basis, far beyond job requirements and expectations; are highly regarded inside and/or outside the department; and always demonstrates positive job-related behaviors. This rating is achievable by any employee though used judiciously.
Exceeds Expectations (E)	Exhibits a high level of competency in current role; performs job tasks/responsibilities above department standards on a consistent basis; continuously demonstrates positive job-related behaviors; meets job requirements in a highly proficient manner, achieving results of a very high quality and quantity.
Meets Expectations (M)	Exhibits consistent competency in current role, consistently demonstrates overall positive job-related behaviors, with no major weakness observed.
Needs Improvement (N)	Exhibits marginal to low level of competency in current role. Inconsistently demonstrates positive job-related behaviors.

Section I. Job Factors/Goals

In this section, the employee's job factors/goals should be listed in order of importance (most critical first). Supervisors should utilize the rating scale to evaluate employee's performance on each job factor/goal and describe outcomes as appropriate. **Please Note:** *Employees must be evaluated on job factors/goals established during the previous year's performance review.*

Hints/Tips for Writing Job Factors/Goals

- Explain how each job factor/goal fits into the overall mission of the department or unit.
- Clearly define each job factor/goal, and include any timelines as appropriate so that the employee fully understands the nature of the task(s).
- Employees with the same job task(s) should have identical job factors/goals.
- Job factors/goals must be attainable. This does not mean that employees should not have stretch goals; however supervisors need to be reasonable in assigning job factors/goals.

Job Factor/Goal Example:

Jim (Computer Maintenance Technician)

Job Factor/Goal: Position is responsible for upgrading office computers on a monthly basis and tracking any hardware/software needs of the unit.

Performance Standards/Outcomes Expected:

Outcomes Achieved:

O E M N

Hints/Tips for Writing Performance Standards

- Performance Standards are always measureable
- Use action verbs
- The Performance Standard includes specific information such as, quality, quantity, timeframe, cost savings, productivity etc. The clearer the description, the more likely the employee will be able to meet expectations.

Performance Standard/Outcomes Expected Example:

Sheila (Data Entry Clerk)

Job Factor/Goal: Patient intake records data entry: All dental office patients must have their registration data entered into the records system.

Performance Standards/Outcomes Expected: All patient information must be entered into the records systems within 24 hours of the patient visit, with no errors. Additionally, a folder must be created and hard copy must be placed in the folder as a backup to the electronic records.

Outcomes Achieved:

O E M N

Outcomes achieved is the narrative comparison of the Job Factor/Goal against the Performance Standard/Outcomes Expected.

Hints/Tips for Writing Outcomes Achieved

- Use action/descriptive verbs.
- Be specific regarding employee's performance as it relates to the job factor.
- Recognize accomplishments and or areas that need improvement.

Outcomes Achieved Example:

Job Factor/Goal: Patient intake records data entry: All dental office patients must have their registration data entered into the records system.

Performance Standards/Outcomes Expected: All patient information must be entered into the records systems within 24 hours of the patient visit, with no errors. Additionally, a folder must be created and hard copy must be placed in the folder as a backup to the electronic records.

Outcomes Achieved: Sheila met the 24 hour deadline of creating the primary electronic and secondary hard copy file for patient records on a consistent basis. Sheila has completed 2 proofing courses and now averages 3 typing errors per patient record. Although this is an improvement from 7 typing errors per patient record, errors of this magnitude are unacceptable. These errors have resulted in misfiling patient files, filing incorrect insurance claims and quoting incorrect copay amounts to patients. Additionally, the computer software is able to search records electronically; typing errors significantly limit the effectiveness of this software and must be avoided at all costs. As stated your PIP (dated 12/11/97), there must be immediate and lasting improvement in this area prior to June 1998.

O E M **(N)**

Section II. Core Competencies for All Employees

Core competencies are used to evaluate basic expectations of all University employees. With the introduction of core competencies to the Performance Management Tool, it is important to discuss with the employee how these competencies impact job performance.

Hints/Tips for Writing Core Competencies:

- Review each competency and determine the employee's knowledge and capability of each.
- Provide specific examples.

*Review the following descriptions and describe the employee's performance in the designated comment box. If a category or box is not applicable, please denote **N/A (non-applicable)** in the space provided.*

Knowledge of Work

Understands the elements of work assignments and responsibilities. Demonstrates sufficient knowledge to perform duties and responsibilities.

Sheila (Data Entry Clerk)

Comments: Although Sheila has improved in some areas, and has the knowledge needed to perform her job in a satisfactory manner, she struggles with focus and follow through.

Note: An additional supplemental **Core Competencies for Management** form should be completed for those who supervise or manage other employees.

Section III. Employee Development Plan

This section specifically outlines a development plan as a result of a discussion and collaboration between the supervisor and the employee. A supervisor should document planned courses,

certifications, workshops, skill development, or core competency development that the employee will engage in during the upcoming year, as well as timelines, as appropriate.

In preparation for the next evaluation cycle, the Employee Development Plan offers supervisors and employees the opportunity to collaborate and plan for the next year. Consider the Employee Performance Self-Appraisal form when determining the Employee Development Plan. Identify specific professional goals related to training, certifications, educational opportunities, skill development and core competency development.

Employee Development Plan Example:

Employee Development Plan: Sandra has shown great potential for a supervisory role. She will continue to seek opportunities to develop her skills in this area. Sandra will enroll in HR's Introduction to Supervision workshop as well as cross train in Student Activities and Diversity Affairs. She will work with these two offices very closely to gain additional experience in preparation for a supervisory role. Sandra is currently pursuing an advanced degree and is encouraged to continue her academic courses.

Section IV. Change in Job Factors and Outline Goals

Any modifications in job factors over the course of the evaluation year should be noted in this section. Supervisors and employees should discuss and document revised expectations and goals for positions requiring frequent adjustment. (For jobs with little fluctuation or change, this section may not be needed.)

List any changes in job factors. Specify goals for the next evaluation period. Individual factors/goals should align with those of the department and the University. Clearly identify performance standards.

Change in Job Factors and Outline Goals Example:

Change in Job Factors and Outline Goals: Microsoft Exchange- Develop a complete training program for all new staff on the basics of email, calendaring, and task management. Training program should be two hours in length and should incorporate a variety of visual aids and activities. This task should be completed by the end of the second quarter.

Section V: Overall Performance Rating

The comprehensive rating earned over the course of the evaluation period is determined by use of the rating scale. This is an overall rating of the employee's performance and job-related behaviors. While individual categories may vary, this rating should reflect the overall average.

The annual overall performance rating establishes eligibility for salary increases (when funds are available). While an employee's job factor/goal ratings may vary, the supervisor should assign a rating which reflects the overall annual performance in relation to the relative importance of the job factors.

Needs Improvement (N) Meets Expectations (M) Exceeds Expectations (E) Outstanding (O)

Overall Performance Rating Example:

O E (M) N

Comments: Kelly has done an excellent job at meeting the needs of the office. Kelly is adept at proactively providing resources to the office staff; we can count on her to order supplies before staff members even need them. Kelly also excels at customer service. Kelly meets and greets all customers at our front desk with a positive demeanor and always is able to direct customers to the appropriate resource. Kelly keeps excellent customer logs, identifying needs and resources. Kelly can further develop her computer research skills to become an even greater asset to the office. Kelly is in her second full year with our office and is quickly proving herself to be an invaluable resource.

Section VI. Certification and Signatures

Upon conclusion of the evaluation, the supervisor should review the evaluation form to ensure that all areas are completed and rated appropriately, as well as sign and date the document. The employee is then provided an opportunity to respond to a series of questions regarding the evaluation, their level of understanding, and to input comments. Employee comments should remain with the official evaluation form.

The second line supervisor should verify and confirm their review of the evaluation form; and ensure the employee's overall performance rating is consistent with the performance evaluation standards of the unit. The second line supervisor is defined as the supervisor of the evaluating manager (first line supervisor). If the evaluator is at the VP/Dean level, a second signature is not required.

Providing Feedback

Avoid Surprises! Employees should have a fairly accurate perception of what their supervisor intends to share on the formal evaluation. Through continuous feedback and coaching, employees will not be surprised at what they find on the actual evaluation form.

Always Document Feedback. Feedback should always be documented, whether it be verbal praise or correction. Keep a paper trail of communication regarding discussions, and include when, where, etc.

Confidential. Employee performance evaluations should be kept confidential.

Performance Evaluations Should Be Timely. Both positive and constructive feedback loses impact if provided long after the initiating incident, so should be provided in a timely manner.

Ratings Must Be Observation-Based: A supervisor must be able to stand behind the rating and comments provided to the employee on the evaluation form.

Evaluate The Behavior, Not The Person. Be objective and rate on performance, not emotion.

Provide Solutions, Not Only Problems. A primary task of the supervisor is to develop employees by ensuring employees acquire the knowledge, skills and abilities to be successful.

Be Specific And Direct With The Employee. If the employee is being challenged by a certain task or job function, work with the employee to check understanding and determine if mentoring or additional training would be helpful. Allow the employee to offer feedback. Evaluation meetings should be conversational and promote discussion, not merely a review of written documentation. The purpose of this process is to improve and/or recognize employee performance.

Schedule Uninterrupted Time For Evaluations. Evaluations should not be scheduled in between other meetings or obligations. The evaluation meeting should be a priority!

Performance Appraisal Rater Biases: Pitfalls to Avoid

Be aware of potential rater biases that can negatively influence the performance review process. Below are some common rater biases to avoid:

- Halo Effect: Draw on one specific characteristic/accomplishment to excessively influence performance appraisal. Apply favorable ratings to all job duties based on impressive performance in one area.
- Pitchfork Effect: Bases ratings on the rater's dislike for a particular trait in an employee. Too much attention given to characteristics that have nothing to do with the performance, such as friendliness, flexibility, sincerity.
- Invalid Criteria: The use of criteria other than performance as a basis for rating.
- Recency Error: Tendency to use a particular event or behavior that occurred closer to the performance appraisal as the basis for the rating.
- Leniency Error: In an effort to avoid conflict the rater has the tendency to be overly generous in judgment. Typically, the supervisor is reluctant to point out weaker areas of an employee's performance.
- Central Tendency: Instead of rating each person individually based on merit, the tendency is to rate everyone as average.
- Strictness: Tendency to be overly harsh when evaluating performance. This may be the case where the standard of performance may be too high or unrealistic.
- Bias/Prejudice: Reactions to non-performance issues such as, but not limited to, race, color, religion, education, gender identity, sexual orientation, family background, age, or sex.

Ways to Avoid Rater Biases:

- Keep detailed documentation throughout the evaluation period. This includes areas to improve *and* areas of success.
- Conduct regular meetings with employees and discuss performance issues as they arise.
- Do not wait until the last minute to prepare the evaluation form.
- Strive for consistency in evaluating employees. All employees should be evaluated using the same standard.
- Check yourself! Complete the evaluation and put it away for a couple of days, then come back to it and take a second look.

SMART GOALS

Instructions: SMART goals provide a structure for creating productive goals. Using the concepts of SMART listed below, write a concise goal for the employees and job factors listed below. Identify how each of the SMART concepts was met.

Job Factors/ Goals

Annual Report - Unit Director
 Monthly Payroll - Payroll Manager
 Provide Customer Service - Desk Receptionist

<p>Specific Measurable Attainable Relevant Time-sensitive</p>
--

Goal:

S
M
A
R
T

Goal:

S
M
A
R
T

Goal:

S
M
A
R
T

FAQs

When are completed Performance Appraisals due to Human Resources (HR)?

Departments will receive notification when a submission deadline is determined.

How should these forms be submitted to HR?

In an effort to promote sustainability, you may send copies electronically. The most efficient process is to scan and email each appraisal separately, enabling HR to upload them directly to an electronic file storage system. In lieu of individual appraisal submissions, you may also scan up to fifty pages in a single Portable Document File (PDF) file. Files should be emailed to performance@louisville.edu. If you do not have scanning capability, you may send hard copies through campus mail.

What is the Overall Individual Rating Report?

The report is a template for departmental designee to record employees' overall performance rating.

Where do I find the Overall Individual Rating Report?

The report is located in University Reports (University Reports/All/Public Folders/HR/UBA/General UBA Reports/Performance Appraisal-Overall Individual Rating).

For more detailed instructions view the following link:

<http://louisville.edu/hr/itemsofinterest/UniversityReportDirections.pdf/view>

When is the Overall Individual Rating Report due?

Departments will receive notification when a submission deadline is determined.

When should I use the Performance Management and Staff Development Plan?

Provisional: All employees should receive a formal evaluation at the end of their 6 month provisional period.

Annual: All employees should be evaluated on an annual basis.

PIP: During the Performance Improvement Plan process, employees should be evaluated at 30, 60, and 90 days (or until satisfactory progress has been achieved or the employee has been dismissed).

What if an employee does not have access to a computer to complete the form?

Departments will have access to both the electronic and hard copy forms. Employees are also welcome to use the computers located in human resources. These forms will be available on the HR website homepage by no later than December 10, 2011.

Are employees required to fill out the Employee Self Appraisal Form?

No, employees are not required to fill out this form. However, it is required that supervisors provide employees the Self Appraisal Form and an opportunity to complete. Employees are encouraged to fill out the form and to provide feedback directly to their supervisor prior to the completion of the annual evaluation.

Who do I call for additional information or help with the electronic forms?

Please contact Justin Cowan, at justin.cowan@louisville.edu or 852-1652.

Additional Resources

Free opportunities and creative ideas for employee professional development:

- HR Staff Development courses
- Information Technology courses (on-line)
- Louisville Public Library Computer courses (hands-on)
- Cross training in your department
- Delegating special projects

For further information or questions, please contact:

University of Louisville
Department of Human Resources
Staff Development and Employee Relations
1980 Arthur Street, Louisville, KY 40208

Malinda Durbin 502-852-6536 malinda.durbin@louisville.edu

Donna Ernst 502-852-6538 donna.ernst@louisville.edu

Mary Elizabeth Miles 502-852-6688 maryelizabeth.miles@louisville.edu