

Performance Management

Effective Preparation and Presentation of the Performance Review

Supervisors

**A workshop presented for Southern Nazarene University
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Seminar Contents

Target Excellence.....	3
Purpose of the Performance Review.....	4
SNU Performance Assessment Procedure.....	5
SNU Performance Assessment and Management Program for Staff Part I-Introduction.....	7
SNU Performance Assessment and Management Program for Staff Part II-Key Components of Performance Management	8
SNU Performance Assessment and Management Program for Staff Part III-Preparing for the Meeting.....	9
SNU Performance Assessment and Management Program for Staff Part IV-The Performance Review Meeting.....	10
SNU Performance Assessment and Management Program for Staff Part V-Completing the Form.....	11
SNU Performance Review and Development.....	12
SNU Employee Self-Assessment and Goals.....	13
Rater Error.....	14
Avoiding Performance Appraisal Errors.....	15
Conveying Negative Information.....	16
Making Plans to Improve.....	18
Performance Management Workshop Evaluation.....	19

TARGET: EXCELLENCE

The Story of Performance Management

Employees need Clear Targets -- Performance Expectations/Goals

- Make it clear what your expectations are
- Set goals that stretch your employees capabilities
- Job descriptions specific and up-to-date
- Make rules and instructions simple and easy to understand

Employees need to know how the arrows are scored -- Performance Standards

- Clear performance standards – how are you measuring success
- Clear priorities
- Know and observe the rules yourself
- Hold employees accountable for their own work

Employees need someone to tell them how to aim and shoot -- Training/Coaching

- Clear communication between supervisor and employee
- Describe the objective of the task and why it requires doing
- Explain your way of doing it; demonstrate
- Keep language simple
- Get feedback; encourage questions; listen
- Allow mistakes
- Continue working with employee, patiently, until task is done well
- Compliment improvements
- Provide an atmosphere that promotes self-confidence; alive and growing
- Check workload fairness

Employees need someone to tell them where the arrows hit -- Performance Feedback

- Timely performance feedback
- Continuous, ongoing feedback
- Honest
- Specific
- Behavior oriented
- Constructive
- Realistic
- Prompt in addressing problem areas
- Document, document, document
- Aware of resistance to change
- Look for understanding, ability, willingness to improve, change, grow
-

Purpose of Performance Review

Establishes a reasonably uniform set of performance standards that are in sync with the company values

Enhances communication between supervisor and employee

- Allows for in-depth communication in a manner not typically possible during everyday business
- Develops and enhances relationships between employees and supervisors

Gives Employee Feedback

- Helps employee clearly understand how well they have met job expectations and achieved specific goals
- Confirms that employees possess skills or attributes needed to successfully fulfill a particular job.

Identifies Formal Training Needs

- Targets staff training and development needed for the area
- Provides employees and supervisors with feedback about the success of previous training and the need for additional training

Help Supervisors Coach, Counsel, and Develop Employees

- Provides employees who are under-performing the guidance that can lead to better performance
- Motivates employees to develop and implement plans for improving their present performance
- Identifies areas for additional growth and the means by which to achieve it

Generate Data to Document Staffing Decisions

- Provides objective information for decision making; e.g. pay increases, promotions, commendations, disciplinary action
- Allocates rewards equitably

Southern Nazarene University Performance Assessment Procedure

Southern Nazarene University values excellence in its academic and administrative programs. It is committed to creating and maintaining an environment that emphasizes the importance of relating work performance to its mission.

The foundation of an effective assessment and management process is frequent and timely communications. It is expected that supervisors will inform employees of job requirements and expectations and the way in which employees' performance will be evaluated. Employees are entitled to a thoughtful and timely performance assessment. Its success depends both on the willingness of supervisors to complete a constructive and objective assessment and on the willingness of employees to respond favorably to constructive feedback and, when needed, to improve their performance. As a result, employees are evaluated in writing at least annually with the assessment generally occurring during March and April.

A. Applicability

This procedure applies to regular full and part time staff. Excluded from this procedure are faculty, adjunct and temporary employees.

B. Definitions

1. Performance Assessment
Is a process of assessing, summarizing, and documenting the work performance of an employee.
2. Performance Management
Is an ongoing communication process that involves both the employee and supervisor in:
 - Identifying and describing essential job functions and relating them to the mission and goals of the University and/or the department
 - Developing realistic and appropriate performance standards
 - Giving and receiving feedback about performance
 - Writing and communicating the results of the performance assessment
 - Planning educational and developmental opportunities to sustain, improve, or build on employee work performance
3. Performance Standards
Are written statements describing how well a job, task, or activity should be performed.

C. Purpose of Performance Assessment

The actual performance assessment serves several purposes. It encourages employee involvement, provides a formal mechanism for employees to receive feedback regarding job performance and expectations, and allows the employee to work closely with the supervisor to establish goals and priorities for the next year. Performance assessment

also facilitates growth and development of employees and results in a documented history of employee performance.

D. Written Performance Assessment

A written performance assessment is based on the employee's overall performance in relation to his or her job responsibilities. It takes into account the employee's work behaviors, record of attendance, and other established performance standards. The written assessment is a legal document. It also is an official record of the employee's work performance, which may be considered in future promotion, disciplinary, and other human resources actions.

In addition to the regular performance assessment described above, supervisors may initiate at any time a written out-of-cycle assessment to document and advise an employee of performance deficiencies.

An overall rating of "Does Not Meet Expectations" performance review must be supported by the contents of the written assessment and accompanied by, as part of the assessment, an improvement plan.

E. Employee Involvement

During the performance assessment process, employees are provided an opportunity to review, discuss, and comment on the actual performance assessment document. The Performance Review and Development form is signed by the supervisor and employee and placed in the employee's official personnel file, which is maintained by the Human Resources Department.

Job standards and other performance evaluation criteria are established by the supervisor with input from the employee. Detailed instructions about the performance assessment process are available on the Human Resources Department web site in the Performance Assessment and Management Program for Staff Guide.

F. Appeals Process

Disagreements occasionally arise over the written performance assessment. In the event an employee disagrees with any part of the written assessment, he or she may attach a supplemental, explanatory response. The response will become a part of the record. If the employee believes the performance assessment is not factually accurate, he or she may request a review by the supervisor or the appropriate cabinet member. If the disagreement remains, the employee may file a formal grievance using the University's grievance procedures.

Southern Nazarene University

Performance Assessment and Management Program For Staff

Part I Introduction

Southern Nazarene University achieves its strategic objectives by valuing excellence in its academic and administrative programs. The University strives to create and maintain an environment that emphasizes the importance of relating work performance to its mission. The performance assessment and management system supports that commitment. In fact, it is the means by which the University establishes and maintains individual accountability.

Assessing and managing employee performance is not a casual undertaking. It is a continuous and, sometimes, complex process. Nonetheless, it is a primary responsibility of those holding positions that supervise others. Done correctly, it is a tool that can enhance the operation of the University, recognize employees for good performance, encourage professional development, and provide employees with recommendations for improvement. Remember: if your employees succeed, you, as the supervisor, succeed as well.

Performance assessment and management are important components of the supervisor-employee relationship. They are parts of an ongoing process of performance planning, review, and development that involves both the supervisor and the employee, who together identify common goals that correlate to the higher goals of the department and/or the University. The actual performance assessment serves several purposes. It:

- Encourages employee involvement
- Provides a formal mechanism for employees to receive feedback regarding job performance and expectations
- Allows the employee to work with the supervisor to establish goals and priorities for the next year
- Facilitates growth and development of employees
- Results in a documented history of the employee's performance
- Provides an opportunity for each employee to discuss work-related problems and interests with his/her supervisor

The actual Performance Review and Development form, when completed, represents a culmination of past year's discussions between the supervisor and employee about the employee's performance.

In contrast, performance management is a continuous process that begins immediately following the initial hiring process and continues throughout the employee's University employment. It is through performance management that the supervisor and employee gain a shared understanding of job expectations.

Part II Key Components of Performance Management

Performance management includes five elements: planning, monitoring, developing, assessing, and rewarding. Carrying out the processes of performance management provides an excellent opportunity for both the supervisor and employee to identify developmental needs. During the planning and monitoring phases of the process, performance deficiencies become evident and can be addressed. Areas for improving good performance also stand out, and action can be taken to help successful employees improve even further.

Planning

Planning is the first element of the performance management process. It requires supervisors to set performance standards and goals in order to help employees channel their efforts toward achieving institutional or departmental objectives. Performance planning culminates in a Performance Plan. It is critical that supervisors engage employees in the planning process, which generally occurs at the beginning of the assessment or appraisal cycle or when a new employee is hired. Doing so clarifies what the employee will be evaluated on and sets the stage for ongoing feedback and coaching throughout the year. Simply stated, it helps employees understand the goals of the University and/or their department, what needs to be done, why it needs to be done, and how well it should be done.

Performance expectations/standards should be understandable, measurable, verifiable, equitable, and achievable. By establishing them, employees are held accountable for work assignments or responsibilities. Employee performance plans should be flexible so that they can be adjusted for changing department or University objectives and work requirements. When used effectively, these plans can be beneficial working documents that are discussed often and not merely paperwork that is filed in a drawer and seen only when it becomes time to conduct the annual performance assessment.

Monitoring

Monitoring is the second element in the performance management process. This element requires supervisors to monitor assignments and projects. Monitoring occurs continually and involves measuring performance and providing employees timely and ongoing feedback on their progress toward reaching their goals. At this phase of the process, supervisors conduct informal progress reviews with employees comparing their performance against the established expectations and standards. The benefit of monitoring is that it provides the opportunity to determine how well employees are meeting expectations and standards, to provide them with early feedback, and to modify any standards that appear unrealistic or problematic. An additional benefit of monitoring performance is that unacceptable performance can be identified at any time during the assessment period and assistance provided the employee to address the deficiencies rather than waiting until the annual performance assessment takes place.

Developing

Developing is the third element of the process that considers and addresses the developmental needs of employees. The objective is to raise the employee's level of

performance through training, giving him or her additional assignments or higher levels of responsibilities that introduce new skills. Providing employees with training and developmental opportunities encourages good performance, strengthens job-related skills and competencies, and help employees keep up with changes in the workplace, such as the introduction of new technology.

Assessing

Assessing is the fourth element, which requires the supervisor to assess or appraise the employee's performance. Assessing performance is critical because it helps the supervisor compare the employee's performance over time and among all other employees within the department.

Rewarding

Rewarding is the final element in the performance management process. It recognizes employees, individually and as members of a team, for their performance and contributions to helping the department and/or University achieve its objectives or mission. One basic principle of an effective performance management system is that all behavior is controlled by its consequences. Those consequences can and should be both formal and informal and both positive and negative. Recognition and acknowledgement is an ongoing, natural part of the day-to-day interaction between supervisor and employee.

Part III Preparing for the Meeting

Begin *planning* for the performance evaluation when you orient new employees. Agree on content and the process. Review the job description. Discuss performance standards. Regularly *monitor* employee performance. *Develop* learning/training opportunities for the employee. *Assess* issues that need improvement or praise. *Reward/praise* often.

- Define the purpose—To review past accomplishments and to develop future plans
- Research. Past accomplishments. Read past evaluations. Review job description, reports, notes, etc.
- Plan the discussion. Keep on the subject. Use an outline to assure the discussion follows the way you plan.
- Schedule the meeting at a time when both are alert and undisturbed, at a location and space that is away from interruptions, on neutral territory. Allot enough time.
- Prepare the employee. Notify the employee at least a week in advance of when and where. Give the employee a copy of the job description, performance standards, evaluation form, self-evaluation form, etc. Ask the employee to be prepared to discuss his performance and goals.
- Request self-evaluation to be returned prior to performance appraisal meeting time.
- Do evaluation ahead of time.
- Keep the appointment. Cancelled appointments may lead to misunderstandings.

Part IV The Performance Review Meeting

Open the meeting in a comfortable relaxed atmosphere. Be natural and comfortable yourself. Briefly explain the purpose, the objectives, the agenda, etc. Encourage the employee to talk with you during the meeting.

Focus on Job Responsibilities and accomplishments.

- Be open, don't let the employee feel this is a secret process.
- Discuss the "job" before the "person."
- Ask questions; listen. "Describe a typical day. What are your major responsibilities/priorities? What tasks are most important? Least important?"
- Cite examples; avoid general statements.
- Are there ways we could use your talents, time more profitably?
- Encourage conversation.
- Discuss self evaluation.
- Discuss any areas not mentioned by the employee.

Involve the employee in the development of future goals.

- Involve the employee in development of goals.
- Ask questions to stimulate discussion – What has disappointed you most about the job in the last year? What areas do you feel least effective? What have you done to increase your effort in these areas? What could I do to support you?
- Be specific. Tell the employee what needs improvement in their work. (Not themselves, the work---Not personality, performance.)
- Acknowledge disagreement but make sure the employee understands that, willing or not, he is expected to perform the work to acceptable standards. The supervisor does not have to seek agreement or engage in arguments. State and move on.
- Focus on the future not the past.
- State clear expectations. Modify, change, adapt as needed.
- Set clear goals/dates for completion.
- Establish priorities – Don't try to deal with all problems at once.

Once the discussion has covered all the subjects, give the employee time to review the form. Ask the employee if there are questions or comments that were not covered in the meeting.

As you conclude the meeting, ask the employee to summarize the key aspects of the meeting and review plans and goals for next year. Go over the plan and check for understanding and clarity. Re-emphasize your support of the employee and their goals. End the meeting on a positive note, one of encouragement. There is no need to prolong the session. Once the objectives have been accomplished, end the meeting pleasantly.

Part V Completing the Performance Review and Development Form

Assure that the form is complete. Have the employee sign the form. The supervisor also needs to sign the form.

- Assure name of the employee the date is correct
- Be sure that you described specifically what the employee did well and what areas of the job need improvement. Use examples, measurements, etc., as appropriate.
- Copy the form for your records. Forward to Human Resources.

Take a few minutes and evaluate yourself as the appraiser. Consider ways in which you can improve the performance review meeting.

- Was the atmosphere comfortable?
- Did the employee participate in the conversation or was it one-sided?
- Did we stick to the agenda or did we get off the subject?
- Did I allow enough time?
- Was this a good location?
- Did I avoid arguments, stand firm, make my position clear?
- Did I really listen?

One of the most important parts of the performance review is what happens for the next year. Be sure to follow up on any goals and/or objectives set. Put dates of deadlines on your calendar for you to remember to touch base with the employee. Provide daily, weekly feedback to the employee. Small “course correction” is always better than waiting until the end of the year to discuss problems. Keep notes of compliments and concerns that the employee has received during the course of the year. Be visible and accessible to the employee.

Southern Nazarene University

Performance Review and Development

Name		Title	
Department		Date of Evaluation	
Evaluation Period	From		To

OVERALL RATING (check only one)

☐ Exceeds Expectations
 ☐ Meets Expectations
 ☐ Does Not Meet Expectations

Describe the employee's performance and accomplishments this past year.

Describe the areas of performance that need improvement.

Describe the goals or areas of emphasis for next year.

Employee Signature

I have received a written and verbal Performance Review. My signature does not indicate agreement or disagreement with this review.

Date: _____

Employee Signature

Employee Comments

Supervisor Signature

I have written and delivered a Performance Review for this employee.

Date: _____

Supervisor Signature

Southern Nazarene University
Employee Self-Assessment and Goals

Name		Title	
Department		Supervisor Name	
Assessment Period			

1. Describe your goals/areas of emphasis for the past year.

2. List your significant accomplishments from the past year.

3. What were key obstacles in accomplishing your job responsibilities?

4. What are your goals for the upcoming review period?

5. What support do you need to achieve these goals or strengthen your performance during the coming year? How can your supervisor assist you?

6. In what areas would you like to grow and develop? What are your strategies for achieving this?

Employee Signature

Date: _____

Employee Signature

RATER ERROR

HALO EFFECT

Judging those similar to me or those I see favorably

HORNS EFFECT

The opposite of the “halo effect”

EFFECT OF RECENCY

Outstanding job last week can offset mediocre performance for the rest of the year

DRAMATIC INCIDENT

One recent mistake overshadows a year of good work

EFFECT OF PAST RECORD

Has always done well in the past, so performance is assumed OK. Good work tends to carry over to current rating period

ONE ASSET PERSON

Impressive appearance; advanced degree; well-liked; graduate of boss' college

ODDBALL EFFECT

Strange person; gets work out but . . . is a *strange* person

PERSONALITY TRAIT

Too cocky, too meek, too passive; often this will skew the entire rating scale

GUILT BY ASSOCIATION

Judged by the company he keeps

INNOCENT BY ASSOCIATION

Same as above

MEMBERSHIP IN WEAK TEAM

Team is weak; therefore, all the team members are weak

CONTRAST EFFECT

Evaluating employees on how they compare with one another, rather than how well they do their jobs

CENTRAL TENDENCY

Rate all employees on the middle of the scale regardless of their performance

POSITIVE OR NEGATIVE LENIENCY

Rating employees on standards which are unrealistically high or low for the job

AVOIDING PERFORMANCE APPRAISAL ERRORS

- Know each job's requirement so that employees are judged against job standards rather than other subjective criteria
 - Defined standards of performance
 - Assure employee comprehends performance standards
- Each employee's performance must be observed carefully and often to obtain a representative sample of job behaviors – Stick to the standards
 - Avoid over-emphasis on recent performance
 - Avoid relying on gut feelings
- Check perceptions of each employee's performance with others. Multiple viewpoints, if formed independently of one another, increase the objectivity of performance evaluation.
- Written notations of critical incidents involving the employee should be made throughout the year. Bias is increased when a manager relies on his or her memory of an entire year's performance.
 - Sufficient and clear performance documentation
 - Describe specific facts
 - Document, document, document
- An awareness of the tendency to make rating errors is helpful in ensuring that each rating given is accurate and objective.
- Allot appropriate amount of time for the discussion.
 - Avoid too much talking by the manager/supervisor.
 - Involve employee in discussion
 - Ask for ideas and suggestions
 - Prepare and execute a follow up plan.

CONVEYING NEGATIVE INFORMATION

The Performance Review meeting is not the place to BEGIN a discussion of a behavioral or performance problem. The Performance Review meeting is a time to re-iterate concerns and address performance that has not improved after initial discussions.

Candor is important when giving negative feedback. Back up negative comments with specific, job-related examples. Documentation is essential.

- Importance of careful wording – Focus on behavior itself and not on the person or personality quality that may have led to the behavior. “You have missed these deadlines.” NOT “You have been irresponsible.”
- Encourage employee feedback. Comment on negative feedback. Employees will often admit to their shortcomings and may even ask for help.
- End on a positive note – some plan of improvement.
- Be prepared for the worst.
 - Let employee blow off steam.
 - Don’t fake agreement.
 - If the storm passes, continue the meeting. If not, discontinue to another day.
 - If there is a hint that the employee might become violent, the manager should leave the room immediately and call for help.

Below are a number of situations describing employees who performed poorly in the last year. Your task is to determine their performance rating, then give them direct, specific, non-punishing feedback on their performance.

To do this, you and your partner will take turns being the manager and the employee. When in the manager’s role, you will determine the employee’s rating based on the performance review forms, then give the employee feedback on his/her performance. When in the employee’s role, you are to determine your own self-rating, listen to your partner’s feedback, then give him or her feedback on how direct, specific and non-punishing was the conversation.

These situation have been designed to be fairly vague and generic; each situation applies to almost all departments. To do this exercise effectively, you must use your creativity to develop facts, behaviors and/or examples consistent with those you would expect to occur in your own department.

1. Donald does his work well as long as he is given very specific instructions. He rarely notices when tasks need to be accomplished unless you point them out to him. This is especially true of non-routine assignments.
2. David is as slow as molasses in getting his work done; most employees in the department can complete tasks twice as fast as he can. He is a true perfectionist and likes to do an excellent job on everything he is given, but while he is perfecting his work, everyone else in the department is having to pick up part of his workload.

3. John has no concept of cost containment. He throws away legal pads when they are only half-used, and refuses to use pencils if they are less than 4" long. He is always requesting that the department order some extravagant item it doesn't need, like shoulder rests for the telephones (employees in this department rarely use telephones for their job duties) or special citrus-scented oil for the desks.
4. Rosie has trouble spelling and lacks English usage and grammar skills. You often must ask her to revise her reports and letters two or three times before they are understandable. When typing Rosie's work, the department secretary frequently asks you to interpret sentences she cannot figure out due to Rosie's unusual sentence patterns.
5. Marsha has an attitude problem. She is always being curt to students and faculty, and employees often complain to you about her snide, sarcastic comments. Marsha is always clear and direct about her concerns, but her tone of voice is snotty and she has an intimidating glare that makes everyone around her uneasy when she is in a bad mood.
6. Chuck freezes up when faced with a crisis. In emergencies, he seems to forget all his technical skills, and even has difficulty getting someone else to help him out. His most normal reaction to a crisis is to become rigid, drop his jaw and stare until someone comes along to assist him.
7. Francis confuses people. Whenever she tries to explain something, she gets all wrapped up in detail, making even a simple concept or procedure seem unnecessarily complex. Staff meetings become dreadful when Francis presents something, because no one can figure out what she is saying, so they have to keep asking questions to clarify her message.
8. Barry has no sensitivity. He does not seem too concerned about the students or their work. He limits his conversation with them to course work only and only responds to the questions that they ask. He tries to respond in one-word answers if possible. He never smiles, he avoids eye contact with them and he seems anxious to get finished with them as quickly as possible.

Making Plans to Improve Performance

For each situation below, you are to develop plans for alleviating the performance problem identified. The plans should describe specific, measurable results to be achieved in reducing the problem.

1. Keith is a supervisor of yours who keeps asking prospective employees about their child-bearing plans, which political party they belong to, and their ethnic background. You suspect he just is not familiar with what can and cannot be asked in an employment interview.
2. A major part of Janet's job is orienting and educating employees in a department. Her oral communication skills are good, but she is much disorganized, and people do not seem to improve much after her classes. You would like to see her training skills increase.
3. Ann is from the east and is continually getting feedback that she has irritated someone or hurt someone's feelings. She likes to get right to the point but often does it in a way that angers or humiliates people. She needs to improve the way she communicates with others.
4. David is an employee who finished school ten years ago. He has not kept up with his field since graduating, and as a result, he has difficulty understanding and accepting changes which are periodically necessary in the department. You want David to stay current so he can be a better team member.
5. Denise is not too analytical. Twice in the last year she was confronted with major problems affecting her job, but rather than study the issues, she made immediate decisions on how to solve them. Her solutions later turned out to be worse than the original problems. You would like to improve Denise's skills in solving problems and making decisions.

Performance Management Workshop EVALUATION

Presentation Name Performance Review **Presenter** Carolyn Shockey **Date** _____

We hope you considered this presentation useful. Please help us plan future sessions by completing this form. You may leave the form on the table as you leave the session. Thank you for assisting us in our efforts to better serve our employees.

	<u>Excellent</u>	<u>Very Good</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>
SESSION					
<u>ORGANIZATION</u>	()	()	()	()	()

Comments: _____

	<u>Excellent</u>	<u>Very Good</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>
<u>PRESENTER</u>	()	()	()	()	()

Comments: _____

	<u>Excellent</u>	<u>Very Good</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>
INFORMATION					
<u>USEFULNESS</u>	()	()	()	()	()

Comments: _____

	<u>Excellent</u>	<u>Very Good</u>	<u>Good</u>	<u>Fair</u>	<u>Poor</u>
OVERALL					
<u>SESSION</u>	()	()	()	()	()

Comments: _____

How can we improve this presentation to make future sessions more beneficial to you?

Are there other topics you would like to see presented? _____