



# The Office of Human Resources

## Conducting Performance Reviews

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**Director of Human Resources**

## Outline

- Presentation/Discussion
  - Why performance reviews are important
  - ASU performance review process
  - How to assign performance expectations, ratings and justifications
  - Discussing goals, training and employee comments

## Why should we do performance reviews?

- They benefit everyone
- Communicate positive feedback
- Further document performance issues
- Recognize accomplishments and reward outstanding performance
- Correct deficiencies and improve performance
- Clearly communicate expectations
- Help achieve ASU's goals and mission
- Develop and motivate employees

## Performance Review Format

- Qualitative and quantitative approach
- Points system
- Employee input
  - Self Review
  - Comments
- Management input
  - Expectations
  - Justifications

## Time Requirements

- At least one per year
- Must be completed by April 1<sup>st</sup>
- Review period is for the prior calendar year (January thru December)
- Did the employee have a change in supervision during the calendar year?

## Supervisor Responsibilities

- Complete training on performance review and recognition
- Establish departmental goals and objectives
- Identify & establish essential functions of the job
- Conduct a review for each assigned employee
- Provide employees with clear expectations, consistent measures, and achievable standards of performance
- Seek input from employees

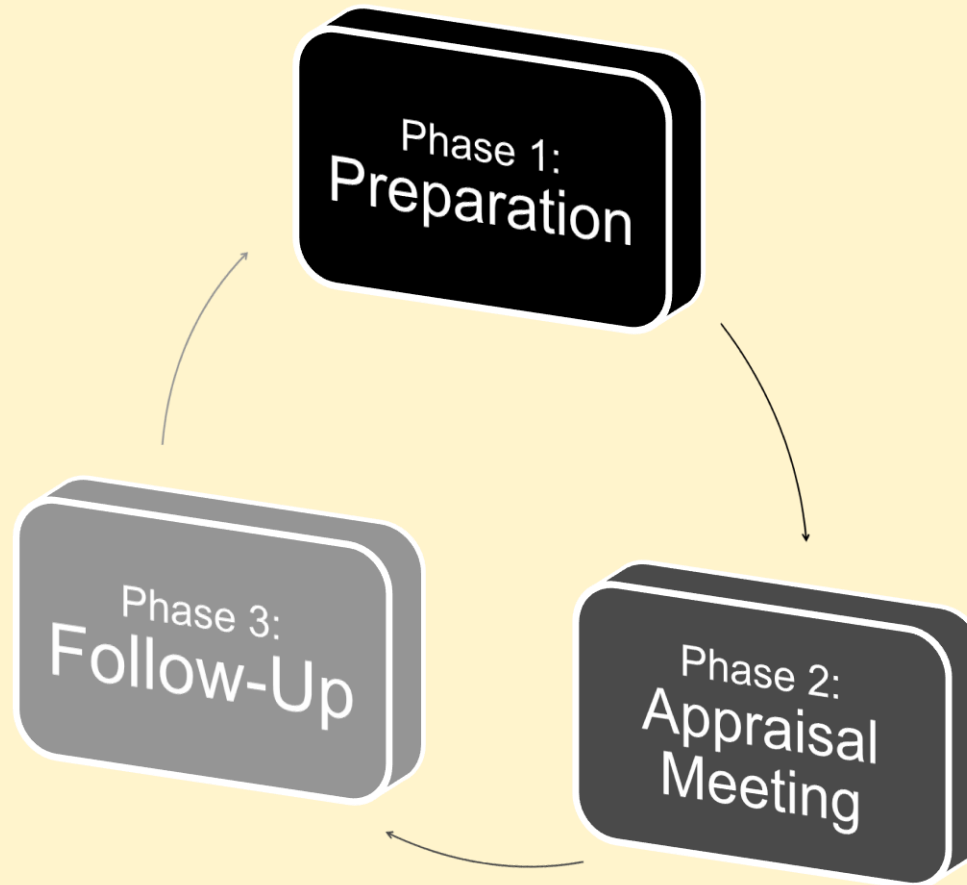
## **Supervisor Responsibilities Continued**

- Identify performance shortcomings and provide assistance and support for correction
- Support and provide resources
- Assist employees in identifying and participating in career development and training programs
- Recognize good performance & motivate employees on future performance
- Engage in ongoing performance review

## Employee Responsibilities

- Provide input to their supervisor in the development of individual goals that contribute to departmental goals and the University's mission
- Meet expectations and achieve performance standards
- Discuss concerns and/or questions about any part of their job description or performance review with their supervisor
- Identify and participate in career development and training opportunities

## Outline



## Phase 1: Preparing for the Meeting

- Involve the employee
  - Agree on a time and place in advance
  - Ask the employee to prepare their ideas and goals in writing
- Gather data
  - Current position description
  - Past performance review
  - Training records
  - Critical incident file
  - Other observations



## Phase 2: Conducting the Evaluation Meeting

- Put yourself at ease
- Put the employee at ease
- State the purpose of the discussion and the advantages of the evaluation system
- Build on the employee's strengths
- Listen to the employee
- Compare performance to standards
- Assign performance ratings
- Develop an overall rating
- Agree on mutual goals for the next year
- No surprises
- Close the discussion
- Avoid evaluator error



## Performance Ratings

- Use the Staff Performance Review form
- The sections are:
  - Section A: Employee Self Review
  - Section B: Essential Job Functions and Other objectives (ex. Assignments, Customer Service, Compliance, etc.)
  - Section C: Supervisory Objectives (if applicable)
  - Section D: Goals and Training/Development



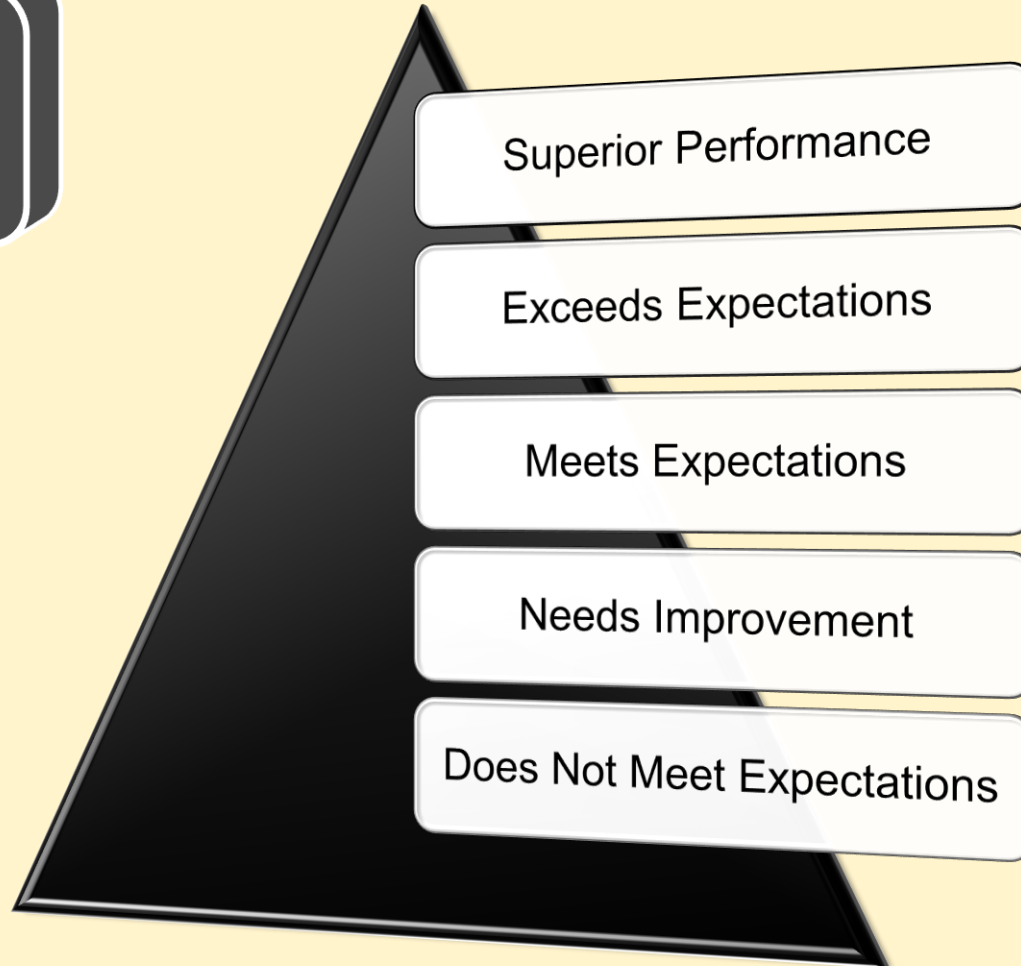
## Performance Expectations

- Helps the employee understand how he/she should perform the duties and responsibilities
- Should focus on end results not just activities
- Reflect department goals and objectives
- Measurable



## Performance Ratings Continued

Phase 2:  
Appraisal  
Meeting



## Rating Scale Definition

- Superior Performance- 90-100% of the time
  - Consistently exceeds all relevant performance standards.
  - Provides leadership, fosters teamwork, highly productive, innovative, responsive and generates top quality work.
  - Active in industry-related professional and/or University groups.
- Exceeds Expectations- 80-90% of the time
  - Consistently meets and often exceeds all relevant performance standards.
  - Shows initiative and versatility, works collaboratively.
  - Has strong technical & interpersonal skills or has achieved significant improvement in these areas.



## Ratings Scale Continued

Phase 2:  
Appraisal  
Meeting

- **Meets Expectations- 70-80% of the time**
  - Meets all performance standards. Displays and maintains an effective and consistent level of performance.
  - Work output regularly achieves desired or required outcomes or expectations.
  - May be inexperienced or still learning the scope of the job.
- **Needs Improvement- does not meet 40-70% of the time**
  - Is inconsistent with performance and output frequently falls below acceptable levels.
  - Tasks may be significantly late or incomplete.
- **Does Not Meet Expectations**
  - Performance not acceptable & corrective action is necessary.
  - May require constant supervision and completion of duties by others.

Phase 2:  
Appraisal  
Meeting

## Performance Rating Example

	<u>Points</u>	
1. Essential Job Functions	7	
2. Assignments & Tasks	6	
3. Job Knowledge	6	
4. Customer Service		6
5. Interpersonal Skills	8	
6. Attitude & Work Ethic	9	
7. Attendance & Punctuality		5
8. Compliance	<u>10</u>	
Total	<b>57</b>	divide by 8 = <b>7.125</b>

## Evaluation Error

Phase 2:  
Appraisal  
Meeting

- Varying standards - consistency is key
- Recency/Primacy – first or last event(s)
- Bias
  - Prior or current equity issues
  - Past sins
  - Possible future termination issues
- Evaluation patterns – same, lenient, strict, etc.
- Halo/Horns effects – always good or bad
- Contrast error – excellent because of a certain group

## Performance Justifications

- Explanation of why they received the rating
- What they have or have not done with a specific objective



## SMART Goals

Phase 2:  
Appraisal  
Meeting

**S**

• Specific

**M**

• Measureable

**A**

• Achievable

**R**

• Results-Oriented

**T**

• Time-Based

## Goals Continued

- In order to write S.M.A.R.T. objectives, ASU has divided the objective into two components:
  - The general title of the goal
  - The standards
    - Standards are the specific measures by which the goal is defined, and by which it is measured
    - Standards, whenever possible, should be tied in with departmental goals & functions

## Goal Example

### Goal:

“Attend computer training to improve office efficiency.”

### Standards:

“Attend two 5 hour classes on using Microsoft Access to create databases and developing queries for efficient data storage and retrieval by June 1, 2009. Develop new database, implement into office procedures, and train all staff on proper use by December 1, 2009.”

## Goal Example



### Goal:

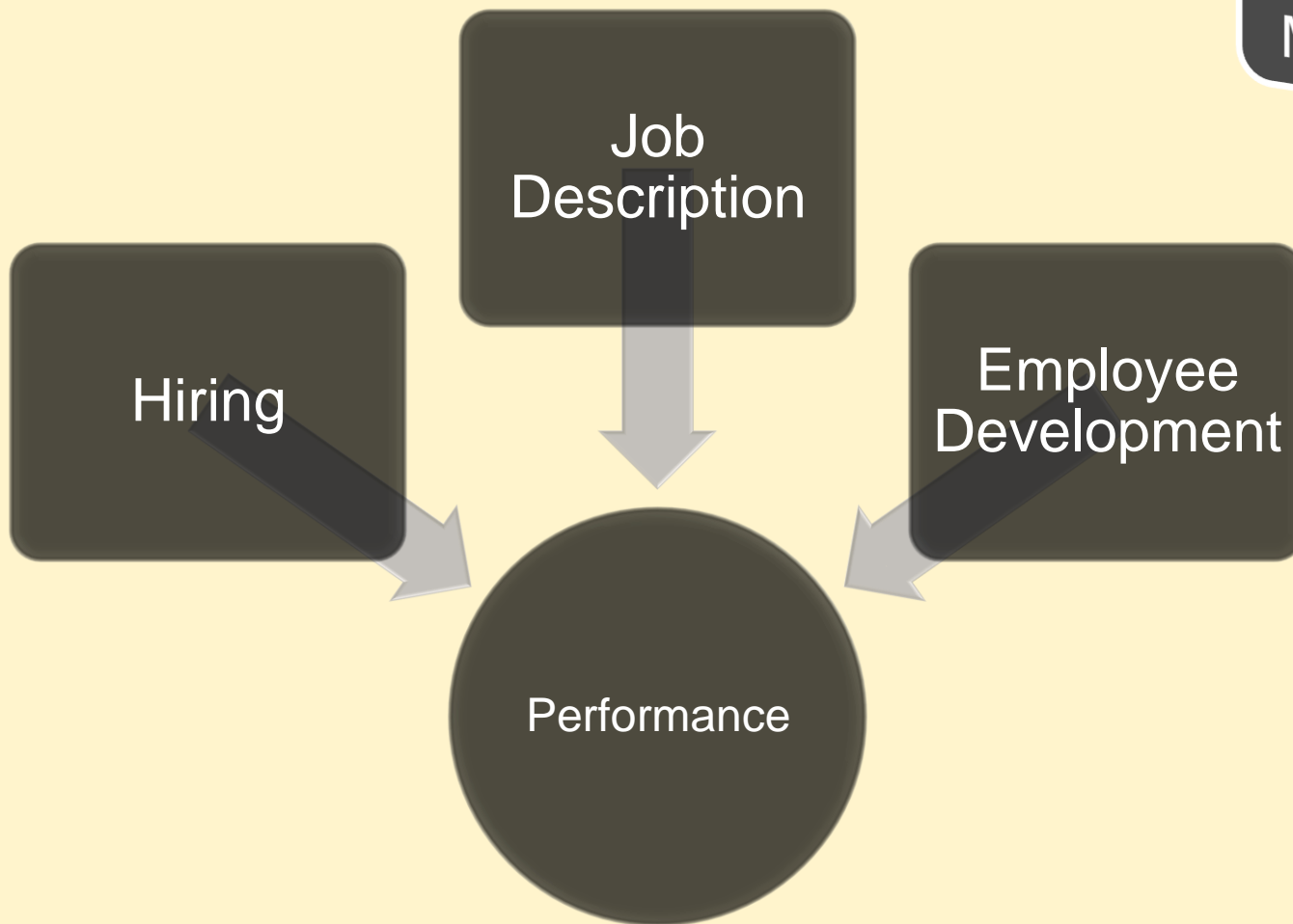
“Develop a new filing system.”

### Standard:

“By June 1, 2009, develop a user-friendly filing system that can be implemented in no more than two weeks. Users will be able to find documents the first time they look, 98% of the time.”

## Talent Management Equation

Phase 2:  
Appraisal  
Meeting



## Employee Disagreement with the Written Review

- The employee may:
  - Attach a written response to the review
  - Request consideration by the next level supervisor/appointing authority
  - File formal grievance if he/she feels that the review process violates ASU policy
- Final decision is made by the department head
  - Vice President if department head is the rater
  - Follow chain of command
    - HR and President do not have final say



### Phase 3: Follow-Up

- Evaluate employees in their environment
- Communicate positive feedback regularly
- Coaching and mentoring is the key

Note: keep all follow up documentation



### Optional Performance Review

- Performance Review not required on anyone who has been employed with ASU less than 6 months (as of Feb. 1, 2010)
- Highly recommended that each new employee receive an initial review during their first 6-month period

Thank You!

Questions?

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