

Performance Evaluation for Staff Employees

PHILOSOPHY

An effective annual review process should define the University's expectations of the employee, identify strengths, highlight areas that need improvement, and direct employees toward attaining goals congruent with the University's objectives and mission statement. Successful implementation of the new process rests upon the underlying assumption that all employees will fulfill the expectations described in this summary, that department supervisors will support and invest in employee staff development, and that the university will continue to create and facilitate additional staff employee professional development opportunities.

The following general principles guided the decision to shift to a new annual review process:

- The new evaluation process should be comprehensive yet manageable, with assessment centered on job responsibilities.
- Formal performance evaluations should occur annually with at least two interim informal meetings to consider the employee's progress along with the additional support needed for both job and professional development.
- The encouragement of employee voice into the process should be a priority.
- The integrity of the evaluation process depends on each supervisor's commitment to write a comprehensive professional development oriented assessment, submit the forms in a timely fashion, and model excellence in job performance.
- The annual performance evaluation and professional development plan is intended to be a development tool and thus should be formative, rather than summative, whenever possible.

PERFORMANCE EVALUATION DOCUMENTS

The Staff Employee Professional Development Plan and Performance Evaluation form consists of the following parts:

- **Employee Self-Reflection Worksheet**, which enables the employee to give "voice" into the evaluation process
- **Job Function Responsibilities**, through which "what" the employee does may be assessed
- **Development Plan**, which structures professional development or new areas of responsibility
- **Overall Performance Summary**, through which a narrative assessment synopsis is provided
- **Employee Comment and Response**, which provides employee "voice" into the evaluation summary

A link to these forms is available online on the Eagle Human Resources Supervisor's Guide as a Word document at <http://eagle.northwestu.edu/departments/human-resources/forms-2/>. They are also available in the Staff Manual at <http://eagle.northwestu.edu/departments/staff-manual/performance-reviews/>.

Procedures

Staff supervisors will use existing job descriptions to conduct the professional development and performance evaluation sessions.

While professional development and evaluation can be thought of as an ongoing process, the following map offers a recommended guideline to accomplish this process.

When	What	Who
Three weeks before review	Schedule review session with employee and send self-reflection form	Supervisor
One week before review	Send completed Self-Reflection Form to supervisor	Employee
Prior to review	Complete all the review forms	Supervisor
At the review	Complete Employee Comment and Response Form Schedule mid-year dates to consider progress and additional support for the employee development plan and ongoing performance objectives	Employee Supervisor
After review	Submit the completed forms to the Human Resources office	Supervisor
Post Review	Meet 2-3 times during the year to consider progress and additional supervisor support	Supervisor and Employee

NEW EMPLOYEES

In the case of new employees, supervisors will conduct a 90-day review to determine if the employment situation is acceptable to both a new employee and University. Supervisor will use the 90-day review forms found at <http://eagle.northwestu.edu/departments/human-resources/forms-2/>.

Preparing Performance Objectives

JOB DESCRIPTION

The **Essential Functions** detailed in the Job Description should form the basis for the performance objectives as listed in the Job Functions Responsibility form. You may need to consolidate some of the job functions on the job description into larger categories and add assessment criteria to define your expectations. For instance, the job description may say "update journal entries" as one task. A performance objective based on that task might combine it with a reporting task, and add criteria: "update journal entries and distribute accurate reports to appropriate parties on a monthly basis".

DEVELOPMENT PLAN

In addition to the overall job responsibilities outlined in the job description, there will be performance objectives in the Employee Development Plan. It is likely that some of these will be **objectives specific to a project**, such as "implement a new accounts receivable system within abc parameters by February

28". Most employees will have both types of objectives, and the objectives should cover all of the essential functions of the position.

You may want to set objectives for employees in conjunction with the fiscal year because annual organizational objectives, based on budget approval, are distributed down through the organization. As a manager, many of your own objectives, or subsets of them, are reflected in the objectives of your subordinates, so that all of the department objectives become the individual responsibilities of the people within the department.

PERFORMANCE OBJECTIVE TRIAD

Effective performance objectives contain three parts. Although it is not always possible to include each part in every objective, the probability that the employee will successfully achieve the objective is enhanced by the clarity and specificity of the objective. Consider including the following in each objective:

Active Description of the Function, Task or Goal

The description contains an action verb, and concentrates on *outcomes* rather than *activities*, where possible. For example, "create and implement a plan to increase student involvement in service learning through connection with individual academic department goals" is a more precise goal than "create a newsletter listing service learning opportunities and distribute to student and faculty". The first example holds the individual accountable for an outcome, the second for an action. That action may be part of what the employee will do to accomplish the goal, but does not make him/her responsible for the results of the goal itself. An even better goal might be to hold the employee accountable for "increasing successful student applications for service learning". Of course, this is only appropriate for an employee who has the means available to influence that outcome.

Statement of Results

This defines the result of the outcome. In the above example, the outcome of the first example is "increased student involvement in service learning", whereas in the second example the objective is achieved when information is distributed, whether or not anyone acts on that information. The activity occurred, but the goal of the activity may or may not have been achieved.

Performance Standard

The performance standard sets up how success is measured. Generally, the only measurable behavior factors are quantity, quality, cost and timeliness.

A Performance Standard for our example can include more than one of these behavior factors. The objective may be stated: "create and implement a plan to increase completed student applications for appropriate, available service learning opportunities by the end of the first quarter", for timeliness, and could add the desired quantity of increased applications "by at least 10%", or by the number of students who apply for service learning leadership positions. Cost may be included as "with no more than a 5% increase in budget", or "within budgeted funds". In this example, quality is addressed by the adjectives "complete" meaning the applications are correctly prepared, and "appropriate" meaning students are applying for service learning that is connected to their major, minor or vocational goals.

Ongoing Responsibilities, which are essential to successful performance in a position, may also be stated as an objective. Just use the principles shown above: ***an action word, statement of results, and a performance standard***. The only real difference between an objective for ongoing responsibilities, and one which is specific to a project, is a completion date, which is not appropriate for ongoing responsibilities. Examples of both kinds of objectives appear on the next page.

For employees who supervise people, we recommend the inclusion of at least one objective related to staff management. Managing employees is a critical part of any supervisor's job, even when they also have individual responsibilities. Writing a staff management objective re-enforces the importance of that role, and can focus attention on a specific area of supervision which needs development. Examples of staff management objectives follow.

Make your performance objectives SMART:

Specific, Measurable, Attainable, Relevant and Time-Bound.

SAMPLE OBJECTIVES

Job Description Objectives:

1. Balance staffing lists and reconcile budget to expenditure monthly, by the 20th of the following month.
2. Interpret monthly financial reports and analyze budget and expenditure data to identify imbalances and trends, and develop and implement strategies for resolving any problems so discovered.
3. Ensure that student evaluations are prepared for all faculty members in the department following established university guidelines.
4. Supervise the preparation and submission of grant proposal applications, so that our funding for next year is maintained at the current level.
5. Maintain websites for three faculty members, meeting with them at least once a month to discuss enhancements and/or problems with the current sites, and ensuring that they are updated with appropriate information at least weekly.
6. Conduct quarterly meetings with your staff and forward written summaries of topics discussed to me. Ensure that all employees in your department receive timely performance reviews and follow-up improvement plans if required.
7. Manage staff and staff resources to ensure that there is adequate clerical, student counseling, and faculty support within the allotted FTE and budget for the department.
8. Create and implement a development plan for each of your direct reports in an area which will further their effectiveness in their current position, to be reviewed with me twice during the year.

Development Plan Objectives:

1. Attend a PowerPoint class. Demonstrate proficiency in using PowerPoint by preparing and delivering Annual Budget Presentation by August 15. Progress review at end of every month beginning April.
2. Design and implement new inventory control system for XYZ by the end of the second quarter. The new system should reduce inventory costs by at least 10% within three months of implementation, with no resulting loss in availability of supplies as evidenced by no increase in complaints of supply shortages.
3. Train all employees in XYZ department on the new software, so that their transition to the new software is complete and they are using it effectively (less than 10% error rate, as evidenced by no more than 5 calls per day to the help line) by October 1.
4. Develop and implement an action plan to reduce error in cost accounting for departments, resulting in accurate accounting reports within two weeks of the monthly close.
5. Ensure that your new manager is thoroughly oriented to the functions of all facility departments and meets with the Chair and the Dean at least once, so that he/she has all necessary information to prepare the budget report for the next fiscal year.
6. In consultation with Human Resources, develop a Performance Improvement plan for employee XYZ, so that within 90 days either the employee's performance meets and sustains standards established or employee is terminated from employment.

Reference: Material adapted from http://www.college.ucla.edu/personnel/perf_obj.asp

Evaluation process effective June 1, 2008