

The University of Tulsa

SUPERVISOR'S GUIDE
TO THE
PERFORMANCE
EVALUATION PROCESS

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*Prepared by The University of Tulsa
Office of Human Resources and Risk Management*

SUPERVISOR'S GUIDE TO THE PERFORMANCE EVALUATION PROCESS

INTRODUCTION

With the implementation of Vision of Excellence and the Quality Service with a Plus training program, university hourly staff and administrative/professional employees are striving to attain a positive work environment that fosters open communication, enhanced quality and exceptional service. The Performance Evaluation process complements the Vision of Excellence program as it serves as a vital management tool to evaluate and improve performance and motivation. The Performance Evaluation process has been implemented to enhance communication between you and your staff; clarify the expected level of job performance; and help employees set and accomplish goals and career objectives.

DISTRIBUTION OF FORMS

The Office of Human Resources and Risk Management will distribute the Performance Evaluation forms to Vice Presidents, Deans and Directors with a listing of employees in their area. The Vice Presidents, Deans and Directors will be responsible for distributing the forms to the appropriate supervisors. The respective supervisor should complete the Performance Evaluation for every hourly and administrative/professional staff member during the timeframe from November 1st through February 15th.

PERFORMANCE EVALUATION OBJECTIVES

The Performance Evaluation process formally recognizes employees for their accomplishments and contributions to the university. In addition, supervisors may use the Performance Evaluation form to clarify specific job performance standards. Most importantly, the Performance Evaluation form contains a section titled, Performance Plan, to establish measurable goals that directly relate to the President's Vision Statement. Prior to the performance evaluation meeting, employees should complete the Self-Evaluation form. The purpose of the Self-Evaluation is to provide employees with the opportunity to organize his or her thoughts and discussions with the supervisors during the evaluation meeting.

The Office of Human Resources and Risk Management has created this guidebook for supervisors to outline the required steps for completing the Performance Evaluation process. If you need additional assistance or have any questions, please feel free to contact the Office of Human Resources and Risk Management at your convenience.

PLANNING THE MEETING

Checklist

Schedule a time convenient for both you and your employee to meet without interruptions during the timeframe from November 1st through February 15th.

- Give the employee the Self-Evaluation form prior to the evaluation meeting. The employee should bring the completed Self-Evaluation form to the evaluation meeting, but should not provide the form to the supervisor prior to the session.
- Assemble and review the employee's:
 - Job description (If none is available, create a job description using the job description template provided.)
 - Past performance evaluations
 - Performance goals
 - Documentation of performance

COMPLETING THE PERFORMANCE EVALUATION FORM

Checklist

- Follow the performance evaluation format
(*Note: there is a separate form for supervisors.*)
- Be detailed and use specific examples in the comment section on page two of the Performance Evaluation form.

Example: Rather than saying, "Jane is dependable," indicate, "Jane has proven to be a dependable employee as reflected by her ability to always meet or exceed deadlines. For example, she completed Project A one week before deadline; thus improving our customer relations with Department B."

- Be sure the evaluation is:
 - Job-related
 - Objective
 - Goal-related
 - Based on performance and behavior
 - Free of personal likes and dislikes
 - Free of stereotypes
 - Not overly strict or lenient

**RATING THE
KEY
PERFORMANCE
AREAS**

Supervisors should carefully use the following scale when rating the employee's Key Performance Areas:

Outstanding (O):

Reserved for those few individuals who strive for excellence and who consistently achieve the highest levels of performance in the job, working in an independent, self-directed manner, and consistently attains highly successful and/or exemplary results. The individual clearly, specifically, and consistently exceeds major expectations of the position; quality and timeliness of results occur despite both challenging objectives and circumstances; individual is regularly sought out for counsel because of demonstrated knowledge and accomplishments; demonstrates exceptional interpersonal communication skills; individual exhibits superlative creativity, initiative and drive; and achieves results well beyond the scope of the position.

Exceeds Expectations (EE):

Indicates the individual: takes initiative and is proactive in performing the job, especially in the most difficult and demanding areas of performance; fully and consistently attains levels of success over and above the standards of performance expected for all responsibilities; consistently attains objectives in a timely manner; errors are few and not repeated; proficient in knowledge requirements of the position; effective interpersonal and communication skills; and may occasionally demonstrate outstanding performance.

Meets Expectations (ME):

Indicates the individual normally performs at an acceptable level on a consistent basis. This is the level of expected work performance meets the required expectations of the position; generally completes objectives/projects in a timely and accurate manner; and may occasionally demonstrate performance that exceeds expectations.

Needs Improvement (NI):

Significant and immediate performance improvement is needed. Performance rated at this level is below acceptable performance requirements. This level should be considered temporary and not allowed to persist. An employee with an overall rating of "Needs Improvement" must receive a follow-up performance review in 60 days. As part of the performance evaluation the supervisor will provide a written description of those items the employee must do in order to improve the rating. Additionally, the supervisor will meet with the employee at least every other week during the 60 day period to provide feedback regarding progress or lack thereof. The individual should not receive any merit increase.

**COMPLETING
THE
PERFORMANCE
PLAN**

As you know, the University's Vision Statement is as follows:

"The University of Tulsa will be nationally recognized as one of this country's top universities, and will be the 'Institution of Choice' for highly qualified students."

During the Quality Service with a Plus training program, participants learn how they can directly contribute to reaching the University's Vision by establishing and striving to accomplish personal action plans. The Performance Plan included in the Performance Evaluation form enforces the concept that each employee can make a difference by setting and accomplishing goals to help the university reach its vision.

The Performance Plan should contain two basic kinds of information: 1) what is to be done and 2) how well it should be done. Performance goals should identify well-developed objectives relating to the employee's position and/or departments which outline:

- Specific Actions,
- Measurable Results, and
- Completion Dates

Example:

GOAL: Establish a new filing system for the department.

Specific Action: Clean out old departmental files, create new files and corresponding file folders for valuable information, create new files for recent projects, organize all files in alphabetical order, and create a master index for filing system.

Measurable Results: Reduced time to retrieve files, easy access for all departmental employees, and additional filing space.

Completion Date: January 31, 2003, on-going action required thereafter.

The Performance Plan may also identify developmental opportunities for individual employees. Additional goal suggestions may include:

- Taking on a new assignment/project;
- Working with others who have mastered the skills he or she needs to improve;
- Serve on a university committee or task force; and/or
- Attend relevant seminars or conferences.

**PERFORMANCE
EVALUATION
MEETING**

Put the employee at ease:

- ❑ Be sincere.
- ❑ Show respect.
- ❑ Invite the employee's reactions and listen to his or her comments throughout the entire performance evaluation discussion.
- ❑ Support the employee's comments and feelings as much as possible.
- ❑ Acknowledge different perspectives.

Self-Evaluation and Performance Evaluation Discussion:

- ❑ Discuss the importance of the Performance Evaluation process.
- ❑ Ask the employee to share his or her comments relating to the Self-Evaluation.
- ❑ Discuss the Performance Evaluation form and ratings by describing your observations and providing specific examples of performance efforts.
- ❑ Discuss the employee's accomplishment and results; compare the Performance Evaluation to the Self-Evaluation "Accomplishments" section.
- ❑ Discuss the employee's overall Performance Summary.
- ❑ Discuss the Performance Plan; compare the Performance Plan to the Self-Evaluation "Goals" section.
- ❑ Discuss suggestions and modify the Performance Evaluation form if necessary.
- ❑ Obtain mutual agreement or compromise. If agreement can not be reached, encourage the employee to prepare a written response, which should be attached to the Performance Evaluation form and submitted to the Office of Human Resources. A representative from Human Resources may determine if additional action should be taken to mediate the situation.
- ❑ Conclude on a positive note.
- ❑ Encourage the employee to come to you with any questions, ideas, or difficulties.

SAMPLE QUESTIONS

Open Ended Questions

- What is the most interesting task you had to do this year?
- What was the most successful area in the past year?
- What areas of your work would you say require more attention?
- What extra help do you need to improve those areas?
- What do you think you need to learn now to develop your job further?
- What are the most difficult problems you have faced?
- Do you think you are performing your present job at your maximum potential?
- Where do you see your future at the university?
- How do you see this job developing?
- What would you say are the priorities for the next 12 months?
- What can I, as your supervisor, do to help you be a better, more productive employee?

Probing

- How do you mean?
- What else do you think of that situation?
- Why do you think that was so?
- I'm not quite sure I understand what you are saying. Will you please explain again?
- Can you give me more details on what you think were the reasons, etc.?

Reflecting

- You seem to have some concerns about this.
- That particular job obviously gave you real satisfaction and, from what you are saying, you would like more of that type of work to do.

RESPONDING TO EMPLOYEE REACTIONS

Employee Who Is Failing

- State the situation clearly. Emphasize performance, with concrete examples.
- Make employee aware of consequences of poor performance.
- Encourage employee to discuss the problem.
- Coach the employee to develop solutions to problem.
- Offer help, agree on action plan, and set frequent follow-ups on progress.

Employee Who Agrees Too Quickly

- For some people this is a way of avoiding a problem. Probe to see what their real feelings are.
- Make sure the employee understands the problem and consequences.
- Determine if agreement is sincere and emphasize steps for improvement.

Angry Employee

- Let employee blow off steam but do not respond in kind.
- Listen and ask open-ended questions to identify the true nature of the resistance.
- State your point of view calmly.
- If an employee stays angry, consider establishing a second meeting.

Employee Who's Just Getting by

- Clarify standards and expectations.
- Ask open questions and listen to identify employee's feelings about the job.
- Reinforce strengths and mutually develop a plan for improvement.
- Establish a process to follow up.

Employee Who Wants Too Much

- Remind employee that raises are given at regular intervals according to organizational circumstances.
- Explain that the promotions reward performance over time, perhaps years.
- Make no promises, and don't let employee infer any commitments.
- Provide a realistic picture of future prospects.

Silent Employee

- Ask open questions to encourage employee to talk ("What do you think of ..." "What are your plans for ...")
- Listen and show interest.
- Do not feel obligated to fill silences.

Commonly Heard Performance Evaluation Do's and Don'ts

DO	DON'T
Do welcome the opportunity to conduct Performance Evaluations. Most employees appreciate the feedback and it promotes open communication. In addition, it allows individuals to set goals relating to the department and the University's Vision of Excellence.	Don't fear the Performance Evaluation process. Remember that you are the leader, and your staff notices your attitude. Follow this guidebook or call the Office of Human Resources for assistance if you expect to encounter an unwelcome situation.
Do complete all evaluations on the employee's anniversary date.	Don't procrastinate months later to complete the evaluations. Employees may have the perception that you don't care enough about them to provide feedback.
Do listen to the employee's opinion and consider modifying your comments to reach mutual agreement.	Don't be close-minded and say, "I'm the boss, you're my subordinate, so do what I say." Action similar to this will only damage the communication process and the employees may not feel comfortable discussing their concerns with you again.
Do document and record deficiencies in the Performance Evaluation.	Don't avoid "sensitive" areas because you do not want to hurt the employee's feelings. Follow the tips outlined in the "Employee Reactions" section of this manual. If the negative behavior continues and the Performance Evaluation only contains "positive" information, it may become difficult to take further disciplinary action.
Do discuss the Performance Evaluation and Performance Plan in detail with the employee. This is the perfect opportunity to provide feedback.	Don't just ask the employee to read the Evaluation and sign it.
Do be open-minded and provide employees every opportunity to improve.	Don't believe that a person can never change. You are the leader--you should lead them to success.
Do address issues of concern as they occur. You may use this guide to provide constructive feedback on an on-going basis.	Don't wait until the Performance Evaluation to address performance deficiencies. Information contained in the Performance Evaluation should not come as a surprise to the employee.

The University of Tulsa ♦ Vision of Excellence
Job Description Template

Position Number:
Position Title:
Occupational Code:
Classification:

Position Summary:

Job Responsibilities:

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Minimum Qualifications:

Preferred Qualifications: