

# **Strategies for Effective Performance Appraisals**

*Employee's Guide*



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## Agenda

1. Objectives
2. The Process
  - a. Big Picture Process
  - b. Operational Process
3. Four Step Approach
  - a. Plan
  - b. Do
  - c. Check
  - d. Act

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## Objectives

*By the end of this workshop, you will be able to:*

1. Articulate your role in the annual performance review process
2. Articulate the responsibilities of the supervisor in the performance review process
3. Prepare for the performance review meeting through the use of the forms provided
4. Identify attributes of the six core UA competencies
5. Prepare SMART work and professional development goals

# The Process

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*"Fear always springs from ignorance"*  
Ralph Waldo Emerson

## Common Myths about Performance Appraisals

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**Myth #1:** Performance Appraisals are just a formality. They do not have any real effect on our department.

**Fact #1:** When done as a part of a continual process of communication and coaching, performance appraisals can be a valuable tool that allows supervisors and employees to check-in and see how we are doing.

**Myth #2:** Performance Appraisals are just uncomfortable for everyone involved.

**Fact #2:** If we are communicating on a regular basis and providing continual feedback to our employees, there should be no surprises in the annual appraisal. Having no surprises takes the fear-factor out of the appraisal.

**Myth #3:** Performance Appraisals are not a meaningful tool for measuring an individual's performance. They force us to rank people on criteria that do not apply to what we really do on a daily basis.

**Fact #3:** The new evaluation forms focus more on the competencies that we, as an organization, adhere to and allow supervisors will be able to assess employees performance.

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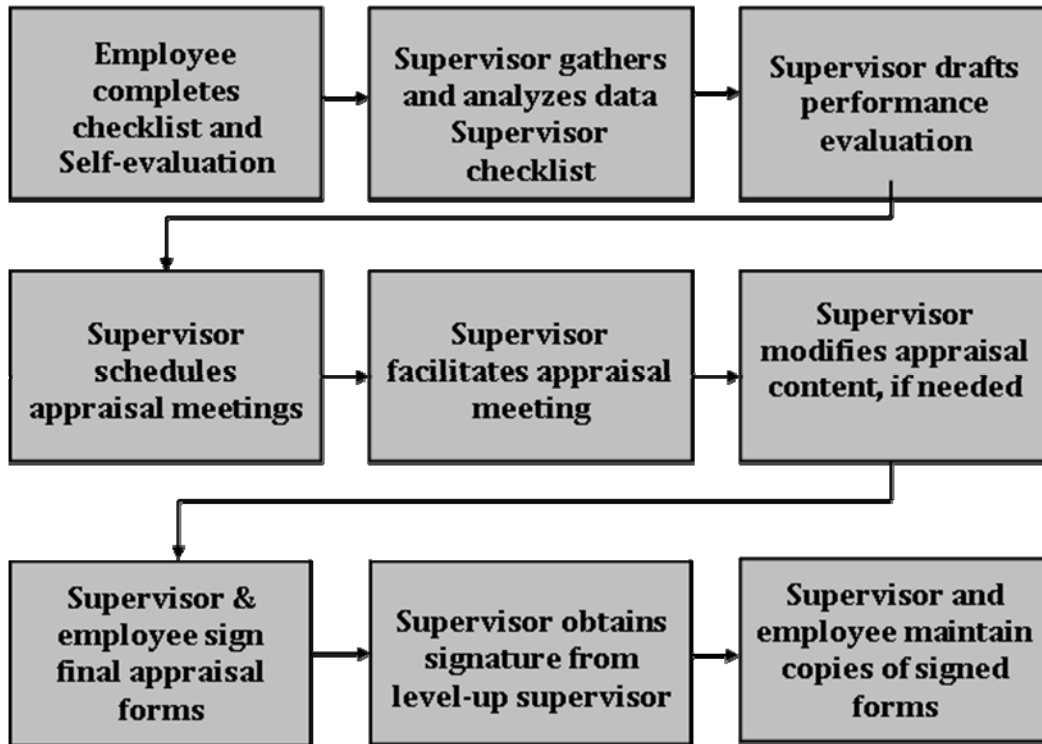
**We can take the fear out of the appraisal process by clearly communicating our expectations about performance and by giving employees continual feedback about how they are doing.**

## The Big Picture

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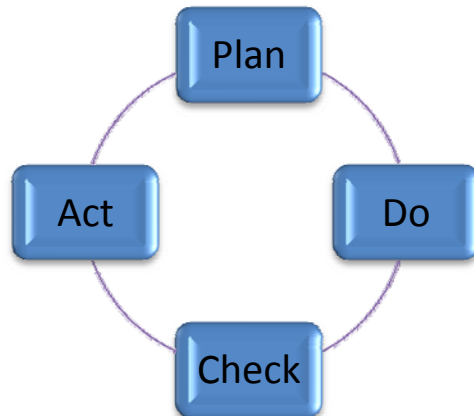
### Operational Process

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# Plan, Do, Check, Act (PDCA) Cycle

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*A common misconception pertaining to performance appraisals is that they are an event that takes place once a year. If we can see the appraisal as a continual process, as opposed to a formal annual event, it becomes more of a tool for communication and success in the workplace.*

*Using the total quality model of Plan, Do, Check, Act (PDCA), we can put the performance appraisal into four steps:*

- **Plan**

*Planning for the review consists of reviewing accomplishments, writing a self-evaluation, and preparing discussion questions for the appraisal meeting. There are elements for the employee and the supervisor that come together with the completion of the performance appraisal and the work/development goals, two documents required for the performance appraisal process.*

<b>Employee</b>	<b>Supervisor</b>
Checklist	Checklist
Self-Evaluation	Performance Observations
Work and Development Goals	Performance Appraisal

- **Do**

*The facilitation of the performance appraisal is led by the supervisor. Participation involves the employee taking an **ACTIVE** role in the actual appraisal meeting.*

- **Check**  
*Upon completion of the appraisal, alignment and sign-off by the employee, supervisor, and the supervisor's manager completes the appraisal. Subsequent meetings will focus on the development of work and professional development goals and a specific plan to improve performance within a specified time frame, if appropriate.*
- **Act**  
*Acting on your performance between the end of the appraisal cycle and the beginning of another review period may include supervisory coaching, on-going feedback, quarterly reviews of goals, or support to help you accomplish your goals.*

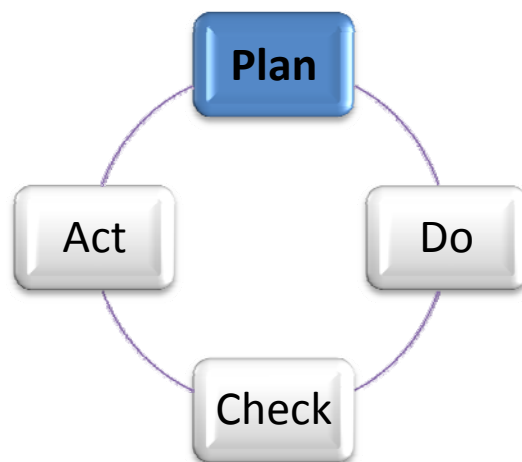
*In this workshop, we will take a closer look at each of these components, beginning with preparation.*

## Planning for the Appraisal

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***"By failing to prepare you are preparing to fail."***

*Ben Franklin*



*The University Administration Performance Assessment packet is available online, and can be completed electronically. The forms packet is comprised of:*

### **The Employee Checklist**

*The purpose of the checklist is to provide the necessary steps to take before, during, and after the appraisal meeting. This form also contains discussion questions to be discussed during the appraisal meeting. This form is not a requirement for employees to complete.*

## Employee Goals

*The Employee Goals portion is divided into three segments:*

**Previous Year's Goals** – these goals, if applicable, should be taken from the previous year's appraisal forms and the progress on these goals should be listed by the employee in their self-evaluation and by the supervisor in the draft performance appraisal. Alignment is reached in the performance appraisal discussion.

**Next Year's Goals** – the goals being set that align with department and organizational missions and goals. These goals are drafted by the employee and then the supervisor discusses the draft with the employee for alignment.

**Professional Development Goals** – focus on personal efforts designed to reach career goals. These goals are drafted by the employee and then the supervisor discusses the draft with the employee for alignment.

## Performance Assessment/Self-Evaluation

*The performance assessment forms are based on competencies identified as key factors to be successful in University Administration. This form provides an area to describe how you have demonstrated the competencies, and/or identify areas that could be further developed. This form and documentation is a requirement of the performance appraisal process.*

### Performance Assessment – Competencies

*The Performance Assessment section of the performance appraisal is centered on competencies and work results. A competency is the application of KSAs (knowledge, skills, and abilities) into a series of behaviors or actions that are necessary for successful performance. UA core competencies are described as follows:*

**Advancing the Organization** – Demonstrates the ability to develop and use collaborative relationships to facilitate the accomplishment of work goals. Identifies opportunities and takes action to develop, maintain and strengthen partnerships with others inside or outside of the organization. Identifies and seizes worthwhile opportunities. Demonstrates willingness to take calculated risks to achieve goals. Seeks out opportunities to improve, streamline and reinvent work processes. Serves as a positive agent for changes in the organization. Demonstrates support for organizational changes (i.e., structural alignment, climate, operational processes) needed to improve effectiveness. Learns about and proactively advocates for and encourages the adoption of organizational change. Identifies issues, seeks information needed to clarify the situation from appropriate sources, relates and compares data from multiple sources, and identifies solutions. Approaches a problem by using a logical, systematic, sequential approach. Thinks through the implications and consequences of situations and takes appropriate action to be prepared for various outcomes. Willingly cooperates and works collaboratively toward solutions that generally benefit all involved parties. Promotes cooperation by building consensus through give-and-take to obtain information and accomplish goals. Understands situations in order to utilize personal influence to persuade others and to gain support and commitment. Supports a common vision and fully participates in getting results.

**Communication** – Respectfully presents clear and convincing information to individuals or groups either orally or in writing to ensure the audience understands the information and the message. Integrates the act of listening to what individuals are saying, seeks clarification as needed, facilitates an open exchange of ideas and understands the implications of what is being said.

**Technology Acumen** – Possesses and applies a technical skill or knowledge in a job-related technical area. Keeps up with current developments and trends to support this technical knowledge.

**Performance Management** – Takes responsibility for one's own performance by setting personal goals, tracking progress towards the goals, soliciting feedback and addressing performance shortfalls promptly. Demonstrates responsibility, reliability, credibility, and trustworthiness in all work situations. Identifies what needs to be done and takes action to achieve goals. Maintains social, ethical, and organizational norms. Firmly adheres to codes of conduct and ethical principles.

**Organizational Performance** – Understands the university and unit's mission, strategic goals, the function of the specific work unit, and how it interacts with other units to serve the customer. Exhibits the ability to speak fluently with others using common university terminology. Uses effective approaches for choosing a course of action or developing appropriate solutions and/or reaching conclusions. Takes action consistent with available facts, constraints, and anticipated outcomes. Feels empowered to make decisions and act in ambiguous situations. Understands the impact and implications of decisions on the unit and/or university community. Possesses and applies knowledge of appropriate policies and procedures for day-to-day management of the financial aspects of a program, project, or assignment. Provides good stewardship of the University's existing resources and identifies opportunities for more efficient operations.

Understands one's discipline, (i.e. accounting, employee relations, computer programming, etc.) within the context of the organization's mission and strategy. Applies the practical application of the discipline to the needs of the operating unit.

**Customer Focus** – Recognizes that every person with whom an individual interacts should be seen as a customer and treated as such. Demonstrates concern for satisfying the customer by listening to and assessing the customer's agreed upon needs. Develops and presents the customer's interests in all matters.

**For each of the competencies listed on the Performance Assessment form:**

- List examples of how you demonstrate this competency in your work.
- List ways that you that can improve your performance, and further develop these skills.

**Space is provided on the performance appraisal form to add unit specific competencies.**

## **Performance Assessment – Work Results**

The second part of the performance assessment is focused on **RESULTS**. What did you accomplish as the result of your contributions to the organization during the year? This should be tied directly to your annual work goals and be as quantifiable as possible. Tasks completed should result in something. Here you want to demonstrate the impact of your contributions.

**For each of the goals and corresponding results you list on the Performance Assessment form:**

- Describe the results of your work goals.
- Describe the impact of the results.
- Identify extenuating circumstances that augmented or hindered your accomplishments.

## Suggestions for Describing Performance:

*When describing your performance:*

- Be specific.
- Use action verbs.
- Provide concrete performance examples.

### Example 1:

Unspecific Description:

“I do a good job when I take care of my customers.”

Specific Description:

“I pleasantly greet customers and ask them how I may help them. I then take care of their needs promptly, asking if there is anything else they need, and thank them.”

“I increased my customer call rate by 10% over last year with the same level of customer satisfaction.”

### Example 2:

Unspecific Description:

“I get my work done.”

Specific Description:

“I finish my work on time, and make sure it is accurate and contains no errors.”

“I am relied upon for my technical expertise when sought out for advice.”

## Writing SMART Goals

Use the SMART technique to help you define meaningful goals.

### **S**pecific

Goals should have their expected outcome stated as simply, concisely and explicitly as possible. Answer the questions: Who? What? When? Why?

### **M**easurable

Goal has an outcome that can be easily measured

### **A**chievable

Goal has an outcome that is challenging, yet realistic given current situation, resources and time available.

## Relevant

Goal aligns with organizational, department, or unit goals. Helps work toward the “bigger picture”

## Timely

Goal statement specifies a realistic timeframe for meeting the goal.

## Types of Goals

The employee goals page is broken into three sections:

### 1. Previous Year’s Goals

These goals, if applicable, should be taken from the previous year’s appraisal forms and the progress on these goals should be listed by the employee in their self-evaluation and by the supervisor in the draft performance appraisal. Alignment is reached in the performance appraisal discussion.

#### Previous Year Goal - Example

I. Previous Year Goals (Progress should reflect qualitative/quantitative measures, % completion, and strategic connections as applicable.)	
<b>Previous Goal 1</b> Update department website on a weekly basis so that clients are apprised of the status of their projects.	<b>Progress</b> Susan has successfully updated the department website every Monday in 2007. Thanks to her efforts, client calls regarding status updates have decreased by 42% from the previous year.

### 2. Next Year’s Goals

These goals need to be aligned with department and organizational missions and goals. They are drafted by the employee and then the supervisor discusses the draft with the employee for alignment.

#### Work Goals – Write a sample goal in the space provided

II. Planning for Next Year Consider challenging, yet achievable goals. Address strategic connections, qualitative/quantitative measures, timeframe and resources needed.	Time Frame	
	Start	Expected Completion
Work Goal 1 {Sample} Enter all client information into new electronic database.	3/1/2008	5/31/2008
Work Goal 2		

### 3. Professional Development Goals

These goals focus on personal efforts designed to reach career goals. They are drafted by the employee and then the supervisor discusses the draft with the employee for alignment.

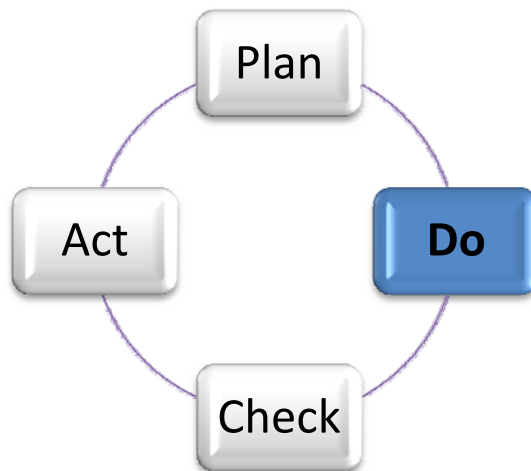
**Professional Development Goal** - Write a sample goal in the space provided.

III. Professional Development Goals Prioritize and develop a plan of action to reach career goals, focus on personal efforts in areas of interest, identify, outline, and use resources, and create an action plan that is clear and achievable. Include competencies needed to attain professional goals, actions to be taken and any resources needed. Expect obstacles and work to overcome them. Celebrate your success along the way!		Time Frame	
		Start	Expected Completion
Goal 1	{Sample} Complete the Oracle 10g Certification Program to be able to better assist clients with configuration issues.	1/1/2008	12/31/2008



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## DO – The Meeting



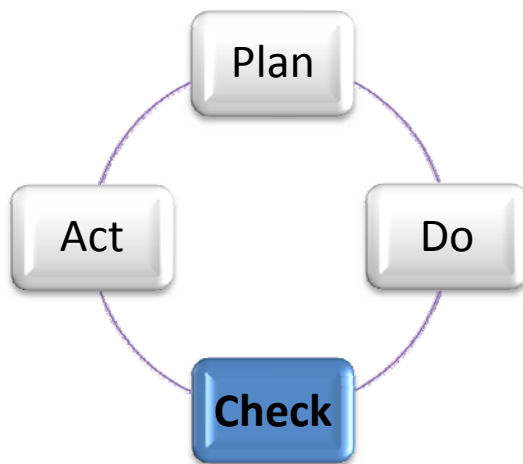
## Guidelines for Success

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- Show respect
- Give honest feedback
- Be positive
- Manage emotions
- Embrace your strengths
- Face your shortcomings

## Check

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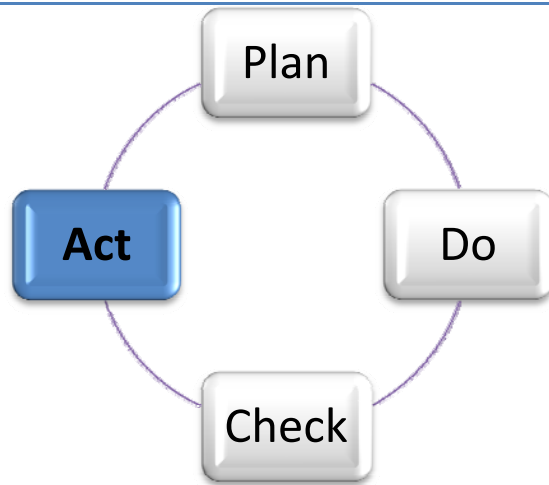
## Post-Appraisal Check

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- Supervisor finalizes and provides for employee signature
- After employee signs form, it is routed to the next level supervisor for his/her signature.
- After all signatures are secured, retain copies for departmental file.
- Final signed copy given to employee.

# Act

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- Employee follows-up with supervisor on a regular basis.
- Check in periodically to report how you are progressing against your goals.
- Seek out coaching or other assistance as needed.

## If You Need Assistance

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*If you have questions regarding the performance appraisal process, or need assistance with employee relations issues, please contact ER/HR.*

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## Links

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### **Forms**

- **Employee Checklist** - [https://nessie.uhr.uillinois.edu/pdf/HR\\_Services-Employee\\_Checklist-2009-09-25.rtf](https://nessie.uhr.uillinois.edu/pdf/HR_Services-Employee_Checklist-2009-09-25.rtf)
- **Performance Assessment** - [https://nessie.uhr.uillinois.edu/pdf/HR\\_Services-Performance\\_Assessment-2009-09-25.rtf](https://nessie.uhr.uillinois.edu/pdf/HR_Services-Performance_Assessment-2009-09-25.rtf)
- **Goals Form** - [https://nessie.uhr.uillinois.edu/pdf/HR\\_Services-Performance\\_Observations-2010-03-10.doc](https://nessie.uhr.uillinois.edu/pdf/HR_Services-Performance_Observations-2010-03-10.doc)

### **Other Links**

- **ER/HR website** - <http://hr.uillinois.edu/HRServices>
- **Talent Management** - <https://netfiles.uiuc.edu/wkstahl/shared/Talent%20Management/eBook/>
- **UA Training** - <http://hr.uillinois.edu/HRServices/UATraining/index.cfm>