Performance Appraisals at UA

Statewide Human Resources
Anne Sakumoto, PHR
Director Faculty/Staff Training & Development
AGENDA

- What is Performance Management?
- Why do Performance Appraisals?
- Your Role & Responsibilities
- Performance Appraisal Form
- Writing SMART Goals and Objectives
- Align with Organizational Goals
- Career Development
- Appraisal and Feedback
- Supervisor Tools, Techniques, Resources
What is Performance Management?

- Performance Management is a collaborative, ongoing process between a supervisor and an employee to:
  - plan for
  - develop the employee’s capabilities/capacity, and
  - evaluate the employee’s work
- Some programs may include:
  - setting next cycle’s goals and objectives
  - employee career development
  - pay for performance
- Outcome: Achieve organization’s goals
I conduct formal, written performance appraisals annually for my direct reports

A. Yes
B. No
C. Not consistently
D. I’m not a supervisor
I have received a formal, written performance appraisal while employed here at UA

A. Yes
B. No
Why Do Performance Appraisals?

- Board of Regents Policy 04.07.030

- University Campuses: Northwest Commission on Colleges & Universities – Standards for Accreditation
  2.B.2 Human Resources
  Administrators and staff are evaluated regularly with regard to performance of work duties and responsibilities.

- Human Resource (Capital) Development
  - Engagement – employees want to do a good job
  - Retention – 100-150% salary expense to recruit

A. The performance of each employee will be evaluated annually and written evaluations will be used as a basis for personnel actions. Performance evaluations will include discussions of the position duties, responsibilities and purpose as defined by the supervisor, performance and conduct, review of progress, and as appropriate, planning for more effective performance. The review will include an opportunity for the employee to ask questions concerning work assignments and performance expectations. Written performance evaluations will be communicated to the employee and will be placed in the employee's official personnel file.

B. Written evaluations will be sufficiently specific to inform and guide the employee toward achieving major goals and objectives for the employee's position as determined by the supervisor. The employee will have an opportunity to respond to the performance evaluation in writing. Employee performance review guidelines appropriate to officers of the university and senior administrators, and exempt and nonexempt staff will be established in university regulation. Evaluation of faculty will be consistent with P.04.04.050-04.04.056.

(06-20-97)
P04.07.050. Administrative Review

A. To encourage and facilitate the resolution of employee complaints in a prompt manner, an individual may request administrative review of any complaint regarding a specific management action which adversely affects the employee's terms and conditions of employment. These complaints include, but are not limited to, those regarding: selection for transfer or promotion, release from at-will employment, salary actions, a performance evaluation, disciplinary probation and suspension.

B. An employee who has a complaint will discuss it with the immediate supervisor who will have an opportunity to resolve the complaint informally. If the complaint is not resolved, the employee may request administrative review by the MAU human resources office. The director or designee may conduct a review, decline a review, or refer the matter to an administrative process.

(06-20-97)
Supervisor’s Role & Responsibilities

Role: Effectively manage resources (employees) you oversee

Responsibilities:
- develop performance goals and objectives
- communicate throughout the cycle about employee’s performance on goals, objectives, professional development
- ensure employee’s have resources needed to carry out their roles and responsibilities
- complete the performance appraisal well – Invest the time, and on time
- Motivate employees
- Provide effective feedback
- Coach employees

Know the applicable laws, BOR Policy, University Regulations
<table>
<thead>
<tr>
<th>Supervisor Name:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Employee Name (Name of Direct Report)</strong></td>
<td><strong>Job Title</strong></td>
</tr>
</tbody>
</table>
Roll-out and Implementation

- Due July 1, 2014; Can start now
- Who receives a P.A.?
  - Statewide, Regular employees
  - Not required for student employees
- Minimum
  - Identify if changes to employee’s position description
  - Review P.A. format with employee – introduction to form and categories to be evaluated in future
  - Formulate employee’s FY2015 goals & objectives

- May conduct performance appraisal using new performance factors
Performance Appraisal Form

- **Format**
- **Sections**
- **Definitions**

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**Performance Factor Definitions**

For Employee Performance Appraisal

Part I of the performance appraisal form has the employee and the supervisor rate the employee’s performance in conducting his/her day-to-day business. The following set of definitions explains the meaning associated with each of the performance factors. Using these definitions as a guide to scoring will help form and standardize scoring consistency.

<table>
<thead>
<tr>
<th>I: Communications: The exchange of thoughts, messages, or information with others.</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. <strong>Skill and Clarity:</strong> Expresses ideas clearly, both written and oral; succinctly explains concepts to others; provides balanced feedback; demonstrates sensitivity to the communication needs of others; listens well.</td>
</tr>
<tr>
<td>2. <strong>Interpersonal Characteristics:</strong> Works for and with others without creating problems; handles confrontations diplomatically; demonstrates respect, patience, and shows appreciation of others’ varied skills and abilities; acknowledges own mistakes.</td>
</tr>
<tr>
<td>3. <strong>Teamwork:</strong> Shares information; works cooperatively in groups; supports and builds consensus; focuses on group needs; offers skills/abilities for the good of the team; demonstrates a good work ethic; accepts responsibility for ensuring team success.</td>
</tr>
<tr>
<td>4. <strong>Builds and Enhances Relationships:</strong> Creates and strengthens relationships with co-workers, customers, and external parties; negotiates effectively; handles work problems without alienating people; tries to understand others; cooperates with others.</td>
</tr>
</tbody>
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Writing SMART Goals & Objectives

• **S**pecific
• **M**easurable
• **A**ttainable *or* **A**chievable
• **R**esults-oriented
• **T**ime and resource constrained

Action Plan: By *(Date)*, _x_ activity to be done and the Word document emailed to me, as your supervisor.
Writing a SMART Goal/Objective

• Identify one of your goal(s) and objectives

• Consider your direct reports and his/her role

• Practice writing an
  ▫ Objective
  ▫ Action Plan
## Align with Organizational Goals

<table>
<thead>
<tr>
<th>UA Themes</th>
<th>Department Goals</th>
<th>Employee’s Goal(s) &amp; Objectives</th>
<th>Employee’s Action Plan (Measurement)</th>
<th>Resources Needed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student Achievement and Attainment</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Productive Partnerships with Alaska’s Schools</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Productive Partnerships with Public and Private Industries</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>R&amp;D &amp; Scholarship to Enhance AK’s Communities &amp; Economic Growth</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Accountability to the People of Alaska</td>
<td>Yellow</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Cascading Goals

Accountability to the People of Alaska

UA Theme

(Department) Goal

Ensure Quality & Efficiencies in Processes and Systems

(EE) Goal

During FY 2015, ensure work processes and procedures are efficient
“During FY 2015, ensure work processes & procedures are efficient”

Objective: By (date), formulate Desk Procedures Manual for efficiency, operational continuity and management of change.

Action Plan:

- By _____, draft an index list of procedures and email to ____ (your supervisor).
- Upon approval of the index list, begin documenting the steps for at least one procedure a week. Provide a monthly progress update to supervisory via email on the 5th day of each month.
- By _____, begin cross training (EE2) to test the procedures and within 7 days update the procedures of any missing or clarifying steps.
- By _____, add screenshots or other documentation into your procedures to clarify your procedures.
- By _____, compile a workflow chart of one process and schedule a meeting with me to discuss your assessment and any improvements or efficiencies you recommend.
- By _____, compile a workflow chart of one process and submit your written recommendation of any efficiencies or potential improvements you have identified.
- By _____, submit your Desk Procedures Manual to your supervisor for review.
Similar to “Delegation” Concepts

1. Outline clear expectations, goals and reasons for delegating the task
2. Set timelines
3. Answer questions or concerns
4. Reassure the employee that s/he can do it. Give needed tools, support or training.
5. Follow up to check on progress

Credits: Excellence in Supervision, Crisp Publications
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## Career Development

Performance Appraisal Form - Page 4

<table>
<thead>
<tr>
<th>Employee Career Development</th>
<th>Interested in New Opportunities: Career Development Plan approved</th>
<th>Interested in new opportunities has NOT completed a Career Development Plan</th>
<th>Needs some additional training in current position to be effective</th>
<th>Working well. Well placed and content in position</th>
</tr>
</thead>
</table>

“Career Development” class facilitated by Tara Ferguson

See Compensation: Tara Ferguson
Career Development

Ro4.05.035 G. Career Development Plan

1. A Career Development Plan (CPD) provides an avenue for advancement through a Job Family based on successful completion of established criteria and objectives.

2. The plan should identify the job family, levels and positions covered, objectives, milestones and criteria to be met (e.g. training, skill level, duties/functions to be assumed, time-in-grade), and overall timeframe.

3. CDP’s may be established at the department, division, MAU or system-wide level.

4. CDP’s must be approved in advance by the chief human resources officer or designee, based on the recommendations of the appropriate chancellor and MAU Human Resources Office. Implementation of a CDP is subject to availability of funding.

5. Upon successful completion of the CDP milestones and criteria, an employee may be advanced non-competitively to the next level of the Job Family, subject to availability of funding and the review and approval of the MAU Human Resources Office.

6. Salary placement will be at the minimum of the new grade or at the step which provides a 5 percent increase, whichever is greater. No increase will exceed the last step of the new grade.

(05-13-10)
NEXT STEPS

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Managing Change & Transition

Figure 1.1: The three phases of transition.

William Bridges
Tips for Implementing Change

• Communicate specifics early / follow-up regularly
• Include others’ ideas for the change, if possible
• Describe changes in as much detail as you can
• Offer training on new skills or to overcome obstacles
• Listen to and acknowledge feedback
• Get others involved
• Brainstorm
• Facilitate creative problem-solving
• Pay attention to those who have difficulty with change
• Recognize & reward progress
Appraisal and Feedback

Appraisal of Performance

How to minimize legal problems - Common errors

Active listening

Give positive recognition

Give corrective feedback - Handle difficult conversations
4 Cs of Good Appraisal Practices

- **Clarity** in standards and procedures
- **Consistency** in rating decisions
- **Candor** in the evaluation ratings
- **Caring** for struggling employees

*Credit: Wendy Tisland, Benefits of Performance Management, 2011*
Appraisal of Performance

• “Active” vs. “Passive” tense
  ▫ “The manual was well done”
  to
  ▫ “You completed the manual in step-by-step detail and added screenshots and forms. You completed the procedures ahead of the deadlines we originally agreed upon.”

• Clarity

• See “Perfect Phrases...” handout
Common Errors

- Central Tendency: rating everyone in the middle
- Recency / Primacy Effect: rating primarily on things that happened recently vs. whole period or in the beginning of the cycle
- Halo / Horn: Strengths/Weaknesses in one area over-influence the appraisal
- Strictness – Leniency
- Contrast: how the employee rates as compared with others
Cautions

• Not meant to be a negative disciplinary action
• You can assume that completed performance appraisal forms will be viewed by others
• For difficult situations, contact HR before acting
  ▫ safety issues
• Subjective vs. objective language
  “Your attitude indicates you don’t want to be at work”

• Biases or legal issues to avoid
  ▫ attendance: Family & Medical Leave, Alaska Family Leave Act, workers’ compensation
  ▫ different treatment, discrimination, retaliation
  ▫ work assignments - wage and hour requirements?
  ▫ don’t promise a promotion, pay raise, retention
Active Listening

1. Face the speaker
2. Maintain eye contact
3. Minimize external distractions
4. Respond appropriately
5. Focus solely on what the speaker is saying
6. Keep an open mind
7. Take notes if that keeps you focused
8. Paraphrase, if needed for clarification

Credit: http://powertochange.com/students/people/listen/
Positive Recognition

- Be genuine

- Be specific

- Catch someone doing something well – Acknowledge and thank him/her for a job well done. It becomes easier over time.

Credits: “30 Ways to Say ‘Great Job’”
http://quickbase.intuit.com/blog/2013/05/10/30-ways-to-say-great-job/
Identify/Address Performance Gaps Early

Deviation – performance gap

TIME

Results or Outcome

Employee Activities

Your Expectations
## Why Employees Don’t Do Their Job

<table>
<thead>
<tr>
<th>Reason for Failure to Perform</th>
<th>Remedy</th>
<th>Whose Problem to Correct?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Don’t know what to do</td>
<td>Improve Communication</td>
<td>Supervisor (&amp; Employee)</td>
</tr>
<tr>
<td>Can’t do</td>
<td>1. Training</td>
<td>Supervisor (&amp; Employee)</td>
</tr>
<tr>
<td></td>
<td>2. Resources</td>
<td></td>
</tr>
<tr>
<td></td>
<td>3. Eliminate Source of Interference</td>
<td></td>
</tr>
<tr>
<td>Won’t do</td>
<td>Change Attitude</td>
<td>Employee (&amp; Supervisor)</td>
</tr>
</tbody>
</table>
Difficult Conversations

• Plan & Prepare
• Have your talking points, outline or script, questions
• Revisit the conversation; allow lead time to stay in charge of the timeline
• Be prepared to change your mind; you’re in charge
Available on SkillSoft Books24x7

Disagreements, Disputes, and All-Out War: 3 Simple Steps for Dealing with Any Kind of Conflict
by Gini Graham Scott
AMACOM © 2008 (240 pages)

Packed with real-life examples, as well as simple exercises and tools to help assess conflict situations, this guide shows readers how to identify the reason for the conflict, recognize and control the emotional factors, and find the best solution.

Table of Contents
Disagreements, Disputes, and All-Out War—3 Simple Steps for Dealing with Any Kind of Conflict

Introduction

Section One - The Emotional-Rational-Intuitive (E-R-I) Method
Chapter 1 - Managing Conflict with the E-R-I Model
Chapter 2 - Dealing with the Emotions
Chapter 3 - Using Your Reason
Chapter 4 - Working with Your Intuition

Section Two - Handling the Emotions
Chapter 5 - Recognizing the Reasons for a Conflict
Chapter 6 - Dealing with Your Own Angers and Fears
Chapter 7 - Avoiding the Responsibility Trap

Section Three - Applying Your Reason
Chapter 8 - Overcoming Conflicts Through Better Communication
Chapter 9 - Understanding the Different Conflict Styles
Chapter 10 - Choosing the Best Conflict Style
Chapter 11 - Negotiating Win-Win Solutions
Chapter 12 - Learning to Deal with Difficult People

Section Four - Using Your Intuition to Discover New Possibilities
Chapter 13 - Coming Up with Alternatives and Solutions
Chapter 14 - Turning Your Conflicts into Creative Opportunities
Index
List of Tables
Neuro-Linguistics Programming

Studies the structure of how humans think and experience the world

- **Visual (V):** “Looks good to me”
- **Auditory (A):** I’ve been hearing good things about it
- **Kinesthetic (K):** I feel good about the whole project
- **Olfactory:** Smells like a winner to me
- **Gustatory:** I can taste the victory
Coaching

Coaching helps employees move beyond their limitations.

"Coaches don't run out on the field and play the game instead of the players; neither do they sit in the stands behind a brick wall listening to the game on the radio."    --- Mary Shurtleff and Steve McKenzie

Build teamwork through communication, shared goals and collaboration. It also keeps the TEAM focused on the goal(s)...
Supervisor Tools, Techniques Resources

1. Performance Appraisal Tracking Worksheet (draft)
2. Significant Events log
3. Positive Recognition – An Example (30 Ways to Say “Great Job”)
4. Active Listening
5. Neuro-linguistic programming (VAK terminology)
6. Why Employees Don’t Do Their Jobs
7. Competencies and Resources
8. SkillSoft Books24x7®
   b. “Managing Change and Transition,” William Bridges
   c. “Disagreements, Disputes and All Out War: 3 Simple Steps for Dealing with Any Kind of Conflict,” Gini Graham Scott
RECAP

- Performance Appraisal, due July 1, 2014
  - Ongoing process

- Review Position Description – Update if Needed

- Write SMART Goals and Objectives for FY15
  - Align with organization goals

- Use Supervisor Tools, Techniques, Resources
Resources & Contacts

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