



## Performance Evaluations (Manager's Training)

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## *What is a Performance Evaluation?*

By definition, a performance evaluation is a **formal record** of a supervisor's **assessment** of the **quality** of an employee's work **performance**.

## *Performance Factors*

The following Performance factors are measured during the evaluation period:

1. Job Skills and Abilities
2. Quantity
3. Quality
4. Work Habits
5. Customer Service
6. Supervisor/Management Abilities (if applicable to the position)

## *Rating Scale*

Foundation uses a five-point rating scale to obtain overall performance

**Outstanding Performance (5)**

Exemplary accomplishments throughout the rating period and/or represented by unique and unusual accomplishments and result in specifically identifiable or quantifiable benefit to System Administration or the institutions.

**Very Good Performance (4)**

Exceeded the expectations and requirements of the assigned position and regularly produces expected accomplishments in all areas of responsibility.

**Good Performance (3)**

Meets job expectations and requirements and may occasionally exceed performance objectives.

**Needs Improvement (2)**

May meet some of the job expectations but does not fully meet the remainder.

**Unsatisfactory Performance (1)**

Fails to meet defined expectations and minimum job requirements.

## *Evaluation Guidelines*

As you prepare to evaluate your employee's performance; note the following:

- Review the employee's work performance for the entire period; refrain from basing judgement on recent events or isolated incidents only.
- Disregard your general impression of the employee and concentrate on one factor at a time.
- Evaluate the employee on the basis of standards you expect to be met for the position to which assigned considering the length of time in the job.
- Rate only those factors that are applicable to the position.
- Select the number that most accurately reflects the level of performance for the factor appraised using the rating scale.

## *Objective vs Subjective Evaluation Feedback*

<b>Objective</b>	<b>Subjective</b>
<b>Observation of measurable facts...</b>	<b>Observation of non-measurable facts...</b>
Fact-based	Personal Opinion
Measurable	Assumptions
Observable	Points of View
Quantifiable	Emotions
Qualitative yet supported by data	Judgment

## *Writing a Performance Evaluation*

### Do:

- Use Specific and relevant examples
- Be Factual and objective
- Clearly convey the intent of the message
- Balance review of previous year with forward-looking comments



### Don't:

- Generalize
- Avoid performance concerns
- Use absolute words such as “always, never, completely, etc.”
- Commit in writing what you can not deliver





## *High Performers vs Solid Performers & Poor Performers vs Under Performers*

It is important to note that not all employees perform the same, and therefore, should be evaluated accordingly. Consider the various definitions of a “performer” below when assigning ratings.

**High Performers** exceed their employer’s expectations on their own volition.

**Solid Performers** generally do what’s expected of them and usually considers that sufficient.

**Poor Performers** usually lack the skill to be a solid performer, because the skill did not exist, or was learned incorrectly, or never mastered.

**Under Performers** generally have the skill, but do not complete assigned tasks or goals the majority of the time.

- Solid-performing employees make up about 70% (**most**) of the workforce
- High-performing employees make up about 10% (**very few**) of the workforce
- Poor-performing employees make up about 10% (**very few**) of the workforce
- Under-performing employees make up about 10% (**very few**) of the workforce

***The evaluation process should include the development of SMART goals as a tool to measure performance in the future.***

Goal setting is one of the biggest ways to improve the workplace—from communication across teams to more effective manager-employee relationships and increased worker efficiency.

Goals also help create a sense of accountability and allow individuals to assess progress they’re making along the way.

In this way, setting goals and creating performance evaluation strategies go hand in hand. To effectively evaluate an employee’s performance, you have to start by setting smarter goals.

EMPLOYEE PERFORMANCE EVALUATION GOALS

SMART GOAL SETTING

Employee Name: \_\_\_\_\_ Title: \_\_\_\_\_

Department: \_\_\_\_\_ Manager Approval: \_\_\_\_\_

Instructions: In addition to completing an annual performance evaluation, MSP employees are asked to establish a minimum of three SMART goals. Goals must be reviewed and approved by your manager to ensure goals are as follows: **Specific, Measurable, Attainable, Realistic and Timely**

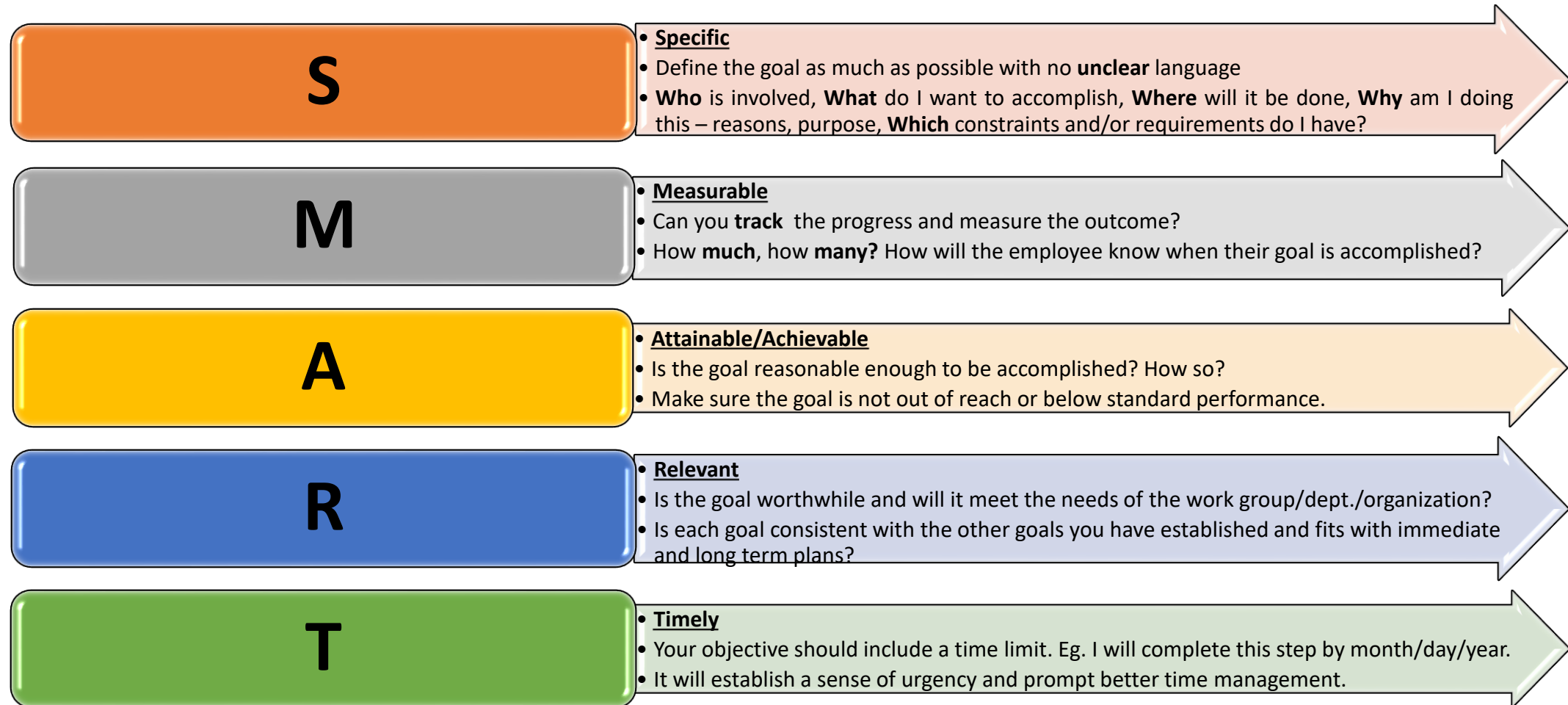
*Example: By September 1, 2020, implement a new pay for performance management tool for Foundation staff, using clearly defined processes and guidelines so employees and managers can more competently evaluate performance and assign increases.*

SMART GOAL #1

SMART GOAL #2

SMART GOAL #3

*What should be included when formulating SMART goals?*



### Bad Smart Goal

Grow Sales

Launch a world-class website



### Better Smart Goal

Grow Sales by 20% by 12/31/20

Launch a website by 11/30/18 that generates a minimum of 20,000 visitors per day by 3/31/20



### Best Smart Goal

Call 50 potential new clients per day, make 5 client visits per day, contact 25 current clients per day by phone or email, record activity daily in your Daily Performance Log, and submit all daily Performance Logs to management for review.

Interview 5 website specialists, submit your shortlist to management, schedule shortlist to meet management, make a job offer to final candidate, give new hire deadline goals, meet with hire bi-weekly to ensure on schedule.

# Performance Evaluations (Manager's Training)

## *When is Coaching Appropriate?*

Coaching allows for clarification and education. Managers often think that they have explained everything, but the employee may not agree. Having another manager and/or HR evaluate the situation is also a good idea. Ask yourself:

- ❖ Does the employee need specific information to complete tasks or contribute more fully?
- ❖ Does the employee need to expand a specific skill set?
- ❖ Are performance expectations unclear or not clearly defined?
- ❖ Is the usually dependable employee suddenly showing behavioral problems (coming in late or appearing stressed, overwhelmed, or distracted)? They may be experiencing medical issues or family issues...may need to recommend a referral to Employment Assistance Program (EAP)

***\*\*\* If answered yes to any or all of the above, coaching may be the first step to remedy the situation.***

## *When is Discipline Appropriate?*

- 1) Disciplinary actions are appropriate if a manager needs to revisit issues addressed in coaching after identifying and delivering what was needed for improvement.
- 2) Disciplining an employee is also warranted if you have talked to the employee about the performance, skill, or experiences required for effective performance in the position but there is limited or no improvement.
- 3) Disciplinary actions are also appropriate if the employee has exhibited behavior or performance issues in areas such as safety violations, harassment, illegal or unethical actions.
  - A. A verbal warning would normally be the first step in addressing issues after coaching. However, if a behavior needs to stop immediately, such as harassment or illegal behavior, or if the employee was previously counseled and received a verbal warning but no change is seen, documenting should be done through a written warning.

## *How to Protect Verbal Conversations with Employees...Memorialize Them*

After a conversation that takes place during a meeting or even out in the hall, much of the detail can be lost or forgotten, so document what you saw/heard. In the event that there is any disagreement or dispute, or, if you just need to recall the details as to what was said, who said what, or who deserves credit for an idea, or any number of negative outcomes, clarity would exist as to the “he said/she said” dilemma.

Memorialization will protect you and everyone else from this maddening dilemma. To memorialize means to offer something – a document, an object, or an event – designed to preserve the memory of someone or something.

After any meeting with an employee regarding a performance issue, be sure to synopsize your understanding of what was said, decided, and who is responsible for what. And then email your “reminder” of the conversation – your memorialization – to all relevant parties. This way you have a record of what was said and accomplished.

Benefits of memorializing include, but are not limited to the following: Leadership is demonstrated; Shows forward vision; Demonstrates your grasp of the information at hand; Shows your sense of responsibility and caring; And, it protects you against any possible negative repercussions.

***When emailing we highly recommend adding the following statement to the recipients in your own words...***

If anything I have indicated does not accurately reflect what has transpired, or you feel that there should be any changes or additions to my understanding, please be sure to contact me, by way of this email.

By doing this you include what you may have missed or misunderstood and you respect the others who were present. When completed you have an accurate record of what transpired – or at the very least it has been affirmed and not challenged.

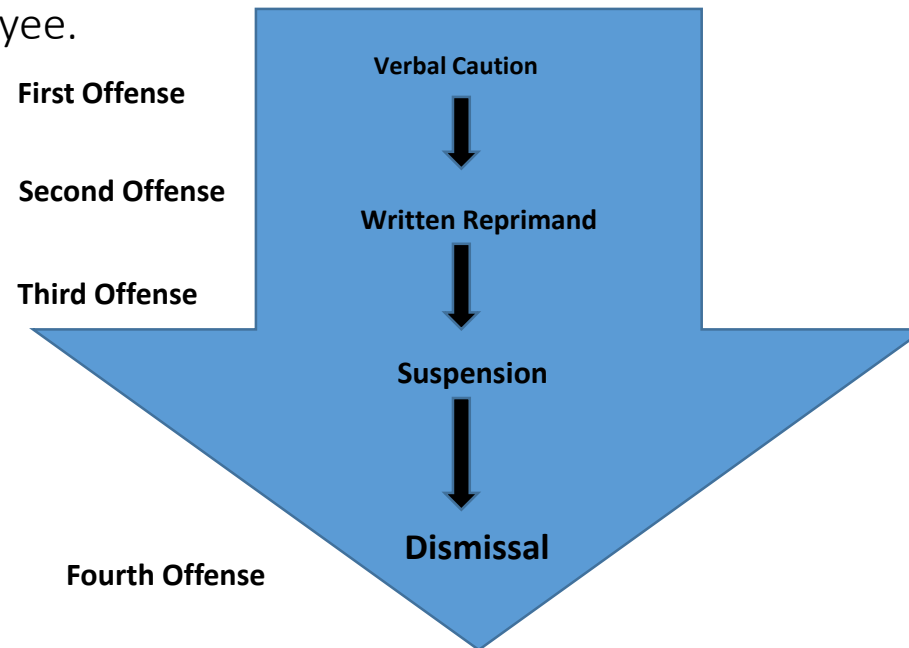
## *Why Performance Check-Ins?*

- A performance check-in should be forward-facing, not evaluative. The goal of the manager is to act as a coach and surface learning opportunities and identify areas for improvement. The missed opportunity for many managers, though, is the chance to highlight what the employee has done well. Affirming good performance results in repeat performance, so to optimize an employee's contributions, managers should look to recognize their best work.
- Regular quarterly check-ins with employees regarding performance throughout the fiscal year is required
  - At a minimum, managers should meet with each team member one on one to look at accomplishments and either affirm or change goals at least on quarterly basis.
    - Structured conversation
    - Tie up loose ends
    - Archive goals that are no longer relevant
    - Plan for the future
    - Constructive and Positive Recognition
  - Open dialogue...two way conversation between employee and manager
    - Be mindful of tone, language and verbiage used during the meeting



## *Progressive Discipline Process*

Progressive discipline is the process of using increasingly stricter steps or measures to correct a problem, after being given a reasonable opportunity for the employee to improve. The goal of progressive discipline is to alert the employee that a change in behavior or performance is necessary; not to punish the employee.





# Performance Improvement Plan (PIP) Step-by-Step Guide

A performance improvement plan is a formal document documenting any recurring performances issues along with goals than an employee needs to achieve in order to regain good standing at the company accompanied by a specific timeline in order to complete the plan.

## Performance Improvement Plan (PIP) Step-by-Step Guide

### 1. STEP ONE: Set up a Performance Improvement Plan

#### Set up a meeting with the employee

Prior to the meeting:

- Consider whether your expectations of the employee's performance are reasonable.
- Prepare a draft performance improvement plan for addressing the performance issues, this should include relevant training or support that you can put in place.
- Think about a reasonable timeframe to bring the employee's performance up to the desired standard.
- Prepare an email/calendar invite, inviting employee to a meeting.

During the meeting:

- Provide examples of where the employee isn't meeting expectations
- Present your plan for addressing the performance gaps or issues
- Ensure you offer EAP (if applicable)
- Ask for the employee's feedback on your plan
- Confirm next steps with the employee
- Record outcomes of the meeting.

#### Finalize Performance Improvement Plan (PIP)

The performance improvement plan will:

- Set out clear, measurable reasonable targets – use SMART objectives – these should link clearly to the employees role and their job description
- Explain or use examples of what the employee needs to do to be at the level required
- Offer the relevant additional support and training (including EAP) if applicable
- Outline how progress towards the required level of performance will be measured over the review period
- Set out a timeframe for improvement, along with regular meetings to assess progress
- Set a date for a formal review of progress (the review date) and the frequency of meeting throughout the review period
- Advise the employee that if there is no improvement they may receive for example a written warning and/or implementation of further PIP
- The PIP can be changed or added to over time...a pip should be between 30 to 90 days, depending on the improvement needed
- Provide an opportunity for the employee to comment and be prepared to make adjustments after receiving the employees input and feedback; however, they do not have to agree.

#### Over the Review Period

The review process is a forward-looking process – this is not the time to raise issues from the past. Focus on the areas that you are seeking to improve or correct. Do not raise something from the past that is not in the PIP.

#### Regular meetings

- The manager must meet regularly with the employee to monitor and assess performance through the entire review period. Managers should use each progress meeting, set out in the PIP, to provide the employee with clear and honest feedback against their performance improvement plan. Any issues or concerns must be identified during those meetings, and the employee provided with guidance/assistance to improve as necessary. This ongoing feedback is important.

### Performance Improvement Plan

Employee Name		Date	
Position/Title		Supervisor	

This form documents a plan for required performance improvement. Below is information regarding specific areas where performance does not meet expectations and action needs to be taken. Your performance will be re-assessed at the end of the defined period though progress toward improvement must be immediate and sustained. The intent is to make you fully aware of this situation and to assist you improving your work performance. However, it is important that you realize the responsibility to improve is yours alone.

You are being placed on a written improvement plan for the next [ ] days, to . Your supervisor will closely monitor your work and you must demonstrate immediate improvement in the following areas:

1. Click or tap here to enter text.
2. Click or tap here to enter text.
3. Click or tap here to enter text.
4. Click or tap here to enter text.

#### Specific Plan of Action

1. Click or tap here to enter text.
2. Click or tap here to enter text.
3. Click or tap here to enter text.
4. Click or tap here to enter text.

Improvement in the stated areas is the goal of the plan. Failure to show positive progression toward this goal could result in disciplinary action up to and including separation from CSUDH Foundation. If performance declines again after successfully completing the improvement plan, it may result in your dismissal from CSUDH Foundation without the issuance of another warning or improvement plan.

Supervisor Signature: \_\_\_\_\_ Date: \_\_\_\_\_

I have read my Performance Improvement Plan and understand that if there is not an immediate improvement satisfactory to my supervisor and/or Human Resources, further disciplinary action may be taken up to and including dismissal.

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## *Importance of Consistency...*

The need for consistency does not prohibit some variation in discipline according to the circumstances of a particular matter. However, when a manager decides to grant leniency to one employee after another employee was treated more harshly for the same or a similar offense, the basis for the different disciplinary action should be carefully documented. For example, a company may have a rule that employees who fail to call in on the day of an absence will be terminated. It would be understandable, however, if a manager made an exception for an employee who was unable to call in and report due to extreme, unavoidable circumstances. In such a case, documentation is of critical importance. The manager should document, in writing, the precise basis for why one employee was treated differently than another employee for the same offense.

Any Questions...  
Please contact  
Amanda Dodd at ext. 2373