Employee Performance Review

Reference Guide

Oklahoma Baptist University
Office of Human Resources
March 2005
TABLE OF CONTENTS

Why Review? ........................................................................................................................................... 1
The Ratings .................................................................................................................................................. 1
Managerial Elements ............................................................................................................................... 1
  Leadership ............................................................................................................................................... 2
  Budget ................................................................................................................................................... 2
  Human Resources .............................................................................................................................. 2
Job Elements ............................................................................................................................................... 2
  Job Knowledge ....................................................................................................................................... 2
  Work Quality .......................................................................................................................................... 2
  Judgment ............................................................................................................................................... 3
  Initiative ............................................................................................................................................... 3
  Communication/Listening .................................................................................................................... 3
  Work ethic .............................................................................................................................................. 3
  Professional Conduct .......................................................................................................................... 3
  Attendance ............................................................................................................................................ 3
Evaluation .................................................................................................................................................. 4
Goal Review and Planning ......................................................................................................................... 5
  Employee Goal Review and Planning ................................................................................................... 5
  S.M.A.R.T. goals .................................................................................................................................... 5
Finalizing the Performance Review ........................................................................................................... 5
  Meet with the employee ....................................................................................................................... 5
  Get the necessary signatures ............................................................................................................... 5
  Distribution of forms ........................................................................................................................... 5
  For more information .......................................................................................................................... 6
Optional forms .......................................................................................................................................... 6
  Peer Assessment ................................................................................................................................... 6
  Supervisor Feedback .......................................................................................................................... 6
APPENDIX .................................................................................................................................................. 0
Employee Performance Review ................................................................................................................ 1
Employee Performance Review - Goal Review and Planning ............................................................... 3
Employee Performance Review – Peer Assessment ............................................................................. 5
Supervisor Feedback Form ..................................................................................................................... 6
Why Review?

Feedback is essential to high performance.

The annual performance review can help: it is an opportunity to discuss successes over the past year, as well as to help employees correct mistakes. A performance review should formalize conversations that the supervisor and employee have had throughout the year and should not be a surprise to the employee.

The performance review is designed to help you accurately evaluate an employee’s performance and set written goals for the upcoming year. When used properly, the performance review can be a great communication tool.

To maximize its effectiveness, take time to prepare for the review meeting with the employee: the Employee Goal Review and Planning form can help. Accurately fill out the review: acknowledge employees who consistently exceed your expectations, and inform employees when they need to do better.

The Ratings

Be honest in your evaluations: an employee can only meet expectations that are communicated to him or her. An employee who consistently performs all of the tasks of his/her job should score 3 in the job elements. The employee is doing what is expected. When an employee exceeds your expectations, mark a 4. When an employee’s performance is outstanding, so much so that he/she is ready for additional responsibilities, mark a 5.

In a case where the employee’s performance needs some improvement, he/she should receive a 2. When an employee fails to meet your expectations, he/she should receive a 1.

There are eleven job elements listed on the performance review. These elements are divided so you can evaluate specific aspects of an employee’s performance. One employee, for example, may consistently produce high quality work. He/she would normally receive a three or four in this category. However, perhaps the employee spends so much time on certain tasks that the quantity of work suffers and you find yourself having to distribute work you’d have liked him/her to have done. Here, the supervisor might decide to deduct a point and adjust the rating.

When a supervisor assigns a performance rating of one or five, the reason for the rating must be documented using the Comments section or a separate sheet of paper.

Managerial Elements

These three elements are to be used for employees who are in managerial or supervisory positions.
Leadership

Effective leadership is an important trait of the manager. A good leader has his/her department acting as a team. A good leader works well with other departments. Causes for concern in the leadership element might be high turnover or a disproportionately high number of employees seeking transfer.

Budget

In any organization, meeting budget is important. This fact is magnified in a non-profit organization. How does the manager use financial resources? Is the manager cost-conscious? Spending money the University does not have, no matter what the reason, hurts the University’s mission.

Human Resources

A manager who 1) effectively organizes and manages staff to meet department objectives; 2) successfully delegates work to accomplish the needs of the department and 3) develops employees’ skills and competencies should rate well in this element. How does the manager supervise the department? Train and develop new and experienced staff? Assign work? The overall performance of the department should be taken into consideration when evaluating this element.

Job Elements

Job Knowledge

An employee must know what to do every day at work. It is the responsibility of the employee to understand what it is he/she is doing and how to do it. The employee should be aware of the basic functions of the position, and the rules and objectives of the department and of the University.

How much does the employee know about the basic functions of his/her position? If the position requires knowledge of certain software, how proficient is the employee on that software? Does the employee understand what is expected of him/her every day? These are some questions to think about when determining the rating of job knowledge.

Work Quality

Use this element to rate such areas as thoroughness, neatness, accuracy, adherence to instruction and policy as well as productivity, planning and meeting deadlines.
When an employee consistently follows up on business, note that here. Also note such points as grammar and spelling on correspondence, neatness of the workplace and ability to produce high quality work even under strict deadlines.

**Judgment**

Every employee must make decisions every day. Employees who analyze problems and can accurately solve those problems should be noted here. Does the employee consistently make sound decisions? Does the employee “fly off the handle” and react irrationally to unexpected problems?

**Initiative**

When an employee consistently volunteers for new assignments, note that here. Also, if an employee looks to improve the methods of performing job duties, note that in this element.

Employees who are self-starters should rate well here.

**Communication/Listening**

There are three areas of communication to evaluate: verbal, written and listening skills. Evaluate employees based on their success or failure to communicate with you, the customer or client, and with their fellow coworkers. Communication is a vital element in building a successful team of employees.

**Work ethic**

Employees who are consistently ready for work on time and who maintain good work habits should get noted here. Employees who accept responsibility for their actions should also be noted here. A good way to determine how to rate this element is by analyzing how an employee reacts when he/she has made a mistake.

**Professional Conduct**

Is the employee cooperative? An employee who shows enthusiasm for his/her job should rate well here. Employees who get along well with coworkers should be commended for their efforts.

All employees must follow the code of conduct outlined in the appropriate Handbook. Employees are also responsible for making a commitment to the University mission. Evaluate these traits in the professional conduct element. Also consider the appropriateness of the employee’s dress and appearance given their assignment.

**Attendance**
Attendance is a prerequisite for performance. Employees who have no incidents of **unscheduled** absences should be recognized on this job element.

An employee with four or more incidents of unscheduled absences, or who has developed a pattern of absences, for example, calls in absent every other Friday, will be marked as “Unsatisfactory” or “Needs Improvement” on this element and will need to be counseled, if counseling has not already been done.

**Evaluation**

Below the **RATINGS** section is a place to indicate the employee’s **overall performance rating**: This number is an arithmetic average of the ratings given. **[If the manager wishes to give some elements more weight than others, this must be discussed with the reviewing supervisor in advance and communicated to employees and the Office of Human Resources. HR will offer assistance.]**

Below the overall evaluation rating is a box for comments. In this section, the manager is given the opportunity to include additional comments, if warranted. This is an opportunity for you to be specific about the employee’s performance. Both positive and negative points should be written in this area. This will allow the employee to understand the reasoning behind the ratings. Use specific situations as examples, or give a general overview of the employee’s performance.

Also, the manager is asked to indicate whether or not reappointment is recommended. If the manager believes that either “No” or “Yes, with conditions” is appropriate, he or she must meet with the reviewing supervisor and Human Resources before meeting with the employee.
Goal Review and Planning

Employee Goal Review and Planning
Supervisors may use the optional Employee Goal Review and Planning form to both review past performance and establish goals for the coming year. This form is not sent to Human Resources, but is a tool to be used by the manager and employee. It should be maintained by the supervisor.

S.M.A.R.T. goals
It is important to list the goals you have for the employee for the following year for two reasons. First, this gives the employee a clear picture of what is expected of him or her. Second, it allows you to have a basis for next year’s evaluation. Goals should be S.M.A.R.T.:• Specific • Measurable • Achievable • Relevant • Time-based.

Finalizing the Performance Review

Meet with the employee
Go through the Performance Review with the employee. Discuss every job element, why you gave a particular rating, and discuss your comments. Allow the employee to share his/her views on the subject. The review should be a two-way communication.

If the employee is in a supervisory position, review the managerial elements. Use this time to assist the employee to become a better manager. Suggest ways to establish a team effort in the department. Again, allow the employee to share his/her views.

Get the necessary signatures
The employee must sign the Performance Review after you have completed your evaluation. Underneath the signature is an area for the employee to write comments. Encourage the employee to participate in the evaluation by providing comments in this section. Additional sheets may be attached.

You must sign the Performance Review. The department head and the Dean or Senior Vice President of your area must also sign the Review.

Distribution of forms
A copy of the signed Review (plus any attachments) should be sent to the Human Resources Office to be placed in the employee’s personnel file. The
Employee Goal Review and Planning form should be maintained in the supervisor’s file and used to provide the employee with feedback about his or her performance throughout the year.

For more information
If you have any questions about the performance review, call the Human Resources Office.

Optional forms
The following forms are available from the Human Resources Office and may be used as part of an assessment process. Assessment, unlike evaluation, is used to identify developmental needs for the person being assessed. The results may be used to create a training program for the employee, or simply to give the employee information on how his or her work or contribution to the organization may be perceived. In any case, a decision to use these forms should be coordinated with the Office of Human Resources. HR will administer the assessments and provide reports of the aggregated results.

Peer Assessment form may be used by a work group to provide each member with feedback.

Supervisor Feedback form may be used by a supervisor to get feedback on his or her performance as a manager from subordinates. This is not available for supervisors with fewer than six direct reports. HR will distribute and collect the evaluations and provide the supervisor with a report of the results. The supervisor may choose to consult with HR to create a personal development plan.
APPENDIX

Samples of referenced forms:

Employee Performance Review
Goal Setting and Planning
Peer Assessment
Supervisor Feedback
## Employee Performance Review

### Employee Information

<table>
<thead>
<tr>
<th>Employee Name:</th>
<th>ID #:</th>
<th>Review Period: _____ to _____</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Job Title:</th>
<th>Department:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Ratings

<table>
<thead>
<tr>
<th>1 – Unsatisfactory</th>
<th>2 – Needs improvement</th>
<th>3 – Satisfactory</th>
<th>4 – Above average</th>
<th>5 – Superior</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Job Knowledge:
Demonstrates knowledge of all phases of work, subject matter, departmental and relevant University policies and procedures.

#### Work Quality:
Thoroughness, accuracy, neatness and organization. Work is consistent with department expectations. Strives to increase productivity. Prioritizes and plans work to meet deadlines. Follows up on and completes assigned tasks.

#### Judgment:
Analyzes problems or procedures and selects correct course of action. Makes logical and sound decisions.

#### Initiative:
Innovates, creates and looks for solutions. Uses logical, practical, independent thought to implement timely, workable solutions.

#### Communication/Listening:
Expresses self in a clear, concise, and persuasive manner. Listens attentively.

#### Work Ethic:
 Assumes responsibility for job requirements, policies and procedures. Arrives to work and meetings on time and prepared; stays on task.

#### Professional Conduct:
Cooperates, gets along with others. Brings enthusiasm, optimism to the workplace. Exercises self-control; appropriate appearance; shows commitment to OBU goals.

#### Attendance:
Present and available for work when scheduled.

### Management and Supervisory Positions

#### Leadership:
Establishes, directs, and guides team effort towards common objectives. Collaborates with other departments and builds effective working relationships.

#### Financial Management:
Uses financial resources efficiently and understands revenue objectives.

#### Human Resource Management:
Assesses staff needs and provides training, development, coaching and evaluation. Assigns work so that employees are fully engaged.

### Evaluation

<table>
<thead>
<tr>
<th>Overall Rating:</th>
<th>Is reappointment recommended?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Yes</td>
</tr>
<tr>
<td></td>
<td>Yes, with conditions*</td>
</tr>
<tr>
<td></td>
<td>No*</td>
</tr>
</tbody>
</table>

* Confer with Reviewing Officer and Human Resources before meeting with employee.

#### Comments:
Complete on back or attach additional sheet if more space is needed.

---

Supervisor Signature ___________________________ Date ____________
**Verification of Review**

By signing this form, you confirm that you have discussed this review in detail with your supervisor. Signing this form does not necessarily indicate that you agree with this evaluation.

Employee Comments and signature: Use the space below or attach additional sheets as needed.

<table>
<thead>
<tr>
<th>Employee Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

Reviewing Officer Comments and signature

<table>
<thead>
<tr>
<th>Reviewing Officer Signature</th>
<th>Date</th>
</tr>
</thead>
</table>

**Additional Comments**
Employee Performance Review - Goal Review and Planning

Employee Information

<table>
<thead>
<tr>
<th>Employee Name:</th>
<th>ID #:</th>
<th>Review Period: to</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Job Title:</th>
<th>Department:</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Goals

Describe the goals for this evaluation period:

Which goals were accomplished?

Which goals were not accomplished and why not?

Which other objectives were met, beyond stated goals?

Which are most notable achievements?
Risks and Expectations

What risks were taken during this evaluation period?

Were the risks worthwhile? Please explain why or why not.

What are the goals for the next evaluation period? Please be clear and concise; list no more than seven major goals.

What assistance will the manager provide?

Comments

Additional Comments:

__________________________________________________________________________
Employee Signature Date

__________________________________________________________________________
Supervisor Signature Date
**Employee Performance Review – Peer Assessment**

**Employee Information**

Name Of Employee Being Reviewed: [Your Name (Opt):]

Date: [ ]

Review Period: [ ]

---

### Assessment Guidelines

Complete this peer review, using the following scale:

- **NA** = Not Applicable
- **1** = Unsatisfactory
- **2** = Marginal
- **3** = Meets Requirements
- **4** = Exceeds Requirements
- **5** = Exceptional

### Assessment

<table>
<thead>
<tr>
<th></th>
<th>NA</th>
<th>5</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Demonstrates Required Job</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Skills And Knowledge</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Has The Ability To Learn And</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Use New Skills</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Uses Resources Available In</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>An Effective Manner</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Responds Effectively To</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Assigned Responsibilities</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Meets Attendance Requirements</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Listens To Direction From</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Management</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Takes Responsibility For</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Actions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Honors Commitments</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demonstrates Problem Solving</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Skills</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Offers Constructive</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Suggestions For Improvement</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Generates Creative Ideas</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>And Solutions</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Meets Challenges Head On</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Demonstrates Innovative</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Thinking</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
### Supervisor Feedback Form

**Supervisor Name:**

**Employee Name (opt):**

**Date:**

**Department/Division:**

---

You are asked to provide feedback to your supervisor to enable him/her to assess their performance. Your responses will be only in the aggregate, **your individual responses are confidential**.

Please check the category that best describes your thoughts about your supervisor’s effectiveness in enabling you to best perform your job using the following scale:

- **R** Rarely
- **O** Often
- **F** Frequently
- **NA** Not applicable

---

### MY SUPERVISOR...

<table>
<thead>
<tr>
<th></th>
<th>R</th>
<th>O</th>
<th>F</th>
<th>NA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Reviews and clarifies my job expectations with me as I request or need it.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Provides clear direction in my job when I need it or ask for it.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Assists me with ways I can improve my work; is helpful at working with me to find solutions to work related problems.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Gives fair evaluation and criticism.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Asks for and listens to my opinions.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>6. Is informed of policies and procedures and keeps me informed.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. Tells me where my current performance lies in relation to job expectations and goals.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>8. Recognizes and commends effort and achievement.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>9. Gives me support when I need it.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>10. Is open to constructive criticism.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11. Listens to my opinions and shows respect for my ideas, even when they are not in agreement with his/hers.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>12. Is concerned about me as a person and takes my preferences into account when assigning duties.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13. Advocates for me.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>15. Follows through with commitments made.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16. Promotes an atmosphere where I can request information and guidance comfortably.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>17. Helps me fit my work into the broad context of the organization.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>18. Shows an interest in the students attending OBU.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>19. Projects a positive attitude about staff and works to build a team.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20. Exhibits commitment to the Christian faith in his/her work.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Summarize this supervisor’s area(s) of strength:

Summarize ways that your supervisor could work more effectively with you:

_________________________  ______
Employee Signature (opt)       Date