SUPERVISOR'S GUIDE TO STAFF PERFORMANCE MANAGEMENT

Table of Contents

PHILOSOPHY STATEMENT

Texas Tech University Health Sciences Center El Paso (TTUHSCEP) recognizes all employees as essential to the institution's overall success. This success is achieved by fostering a work environment in which employees are empowered to perform to the best of their abilities. To facilitate such an environment, TTUHSCEP is committed to a performance management system that:

- Aligns the efforts of supervisors and employees with TTUHSCEP's mission and vision;
- Promotes accountability in performance assessment;
- Operates with consistency and transparency;
- Recognizes the talents, fosters the development, and optimizes the performance of all employees;
- Encourages effective communication between supervisors and employees; and
- Rewards excellent performance.

TTUHSCEP believes that effective performance management is an ongoing process. Therefore, all employees are expected to incorporate the performance management process as an integral part of the daily work environment at TTUHSCEP.

PURPOSE OF PERFORMANCE MANAGEMENT

Managing employee performance is an integral part of the work that all supervisors perform. Ultimately, it is as important as managing the institution's financial and material resources because employee performance, or the lack thereof, directly impacts the institution's ability to effectively accomplish its mission. The purpose of performance management (which includes the performance evaluation) at TTUHSCEP, is to optimize the talent of our most important resource
- our employees, in support of the mission and vision of the institution. Performance management focuses on the supervisor's basic responsibility, encouraging results through the efforts of other individuals.

Performance management is *not* a system that exists merely to produce a completed evaluation form or to provide performance documentation. It is one part of a communication process to be used by a supervisor and subordinate in achieving the performance and rewards both desire. When a supervisor adopts a performance management stance, open communications are encouraged so that the employee better understands job duties and expectations and in turn, increases the likelihood that the employee will approach the supervisor any time there is a job performance question. Likewise, the supervisor can make periodic adjustments in the employee's job duties and associated performance expectations without the employee feeling threatened. Performance management approaches must be flexible enough to accommodate the ever changing needs of the institution.

Supervisors should initiate and encourage the interactive techniques necessary for effective performance management. Performance evaluation is but one function of effective supervisor

and subordinate interaction. The procedures outlined in this guide are intended to assist each supervisor in improving communication and the overall performance management process. When done correctly, the performance management process benefits supervisors and employees alike.

– As a supervisor, performance management provides a process to:
▪ Establish and communicate performance standards and job-related expectations with their employees;
▪ Increase organizational effectiveness by developing employee potential; and
▪ Provide documentation that supports employment-related promotion, retention, discipline, and salary decisions.

– As an employee, performance management allows for the opportunity to:
▪ Understand job duties, responsibilities and associated performance standards through the establishment of mutually understood standards for measuring performance;
▪ Receive feedback on performance as well as areas for improvement; and
▪ Participate in the PM process to further job performance and professional development.

Supervisors play a key role in the performance management process!

HOW TO USE THE PERFORMANCE MANAGEMENT PROCESS

Prior to beginning the performance management process, each supervisor should familiarize themselves with HSCEP OP 70.12 and this attachment (Attachment A - SUPERVISOR'S GUIDE TO PERFORMANCE MANAGEMENT) as well as complete training on the performance management process (http://www.ttuhsc.edu/hr/performance.aspx).

Note: Per HSCEP OP 70.12, it is the responsibility of each administrator to make available and review with each reviewer/supervisor under his/her charge information contained in HSCEP OP 70.12 and this attachment (Attachment A) to ensure that the performance management process (including performance evaluations) is conducted in accordance with TTUHSCEP policy and without regard to an employee's race, color, religion, sex, age, disability, national origin, Vietnam Era or Special Disability Veteran status, genetic information, or refusal to submit to genetic testing.

As mentioned previously, Performance Management does not just involve completing and discussing with the employee performance ratings during their annual evaluation. The performance evaluation is but ***one part of a total performance management system***. It is not an end or a beginning; it is part of ***a <u>continuous</u> cycle***. The kinds of communications which aid an employee in improving job performance come only through the proper utilization of all phases of the performance management process.

THE FIVE (5) PHASES OF PERFORMANCE MANAGEMENT

There are five (5) phases in the Performance Management Process:

Note: Performance Management information to include the performance management online system, policies, procedures, training schedules and related information is available on the HR/Staff Performance Management website at http://www.ttuhsc.edu/hr/performance.aspx.

Phase 1: The Preparation Phase

Although this phase begins anytime an evaluation is to be completed, it typically takes place during December – January in preparation for completing annual staff performance evaluations which are due to be completed and submitted to the Human Resources Department by the end of February (evaluating performance from January-December of the previous calendar year). In addition, per HSCEP OP 70.12, performance evaluations for each full/part-time staff employee will also be conducted as follows:

- Immediately after the employee completes their initial six months of service;
- Three months after an employee receives the following on a performance evaluation:
  - An "overall" rating of less than 4.0
  - An overall "section" rating of less than 4.0

TTUHSCEP Staff Performance

Phase 1 consists of the following steps:

1. **Read HSCEP OP 70.12 and Attachment A.** This phase should begin with the supervisor reading HSCEP OP 70.12 and this attachment (Attachment A - SUPERVISOR'S GUIDE TO PERFORMANCE MANAGEMENT) to ensure understanding of the Performance Management process. This step is recommended for experienced supervisors as well.

2. **Gather employee performance records and related information**. The supervisor should then gather employee performance records and related information to include the employee's most current Position Description (PD), previous performance evaluation, information contained in the employee's performance file (a record of notable job-related occurrences of both a positive and negative nature throughout the year – see "Implementation phase on p.12) and any other pertinent information applicable to the current evaluation period.

3. **Review Position Description (PD).** Review the employee's PD to ensure it accurately reflects duties performed during the evaluation period. Also provide a copy of PD to the employee for review.

   The PD is initially developed (with input from the employee) electronically in the Performance Management (PM) online system located at: http://www.ttuhsc.edu/hr/performancemanagement/authenticated/Options.aspx. The PD is then accessible online. To be official, the finalized PD **must** be printed and signed by both the supervisor and employee. A copy of the document should be maintained in the department and a copy should also be provided to the employee.

   It is important that the PD be accurate and up-to-date since it serves as the source document for most employment-related actions (recruitment, selection, promotion, retention, discipline, salary, etc.). From a Performance Management standpoint, a properly prepared PD enhances the employee's understanding of what is to be accomplished, resulting in a greater probability of success. The following are components of an effective PD:
   - The PD should be developed with input from the employee actually doing the job since that person is in the best position to identify the duties associated with the position.
   - The PD should clearly define performance expectations, stating expected competencies, job functions and associated performance standards;
   - The supervisor and the employee should work together to keep the PD current, realistic, and understandable.

4. **Meet with employee to discuss PD process/timeline.** A key component of effective performance management is two-way communication. It is recommended that the supervisor initiate this communication early in the process by meeting with the employee during Phase 1 to accomplish the following:

a. <u>Finalize PD updates</u> (if applicable) with input from the employee to ensure that the PD accurately reflects the duties performed during the evaluation period. If updates are necessary, they should be made electronically in the PM online system

b. <u>Explain the PM process and associated timelines</u> to ensure the employee understands how the process works and what to expect.

c. <u>Provide documentation/self-assessment link to employee</u>. Provide employee with a copy of current PD and last evaluation (if the employee doesn't already have a copy) as well as the link to self-assessment form located at: http://www.ttuhsc.edu/hr/performancemanagement/authenticated/Options.aspx. Information contained in both the PD and previous evaluation will be needed by the employee in order to complete the self-assessment.

d. <u>Provide instructions on for completing self-assessment form.</u>

e. <u>Set deadline for submission of the self-assessment.</u>

f. <u>Answer any questions</u> the employee might have regarding the process.

Phase 2: The Rating Phase

Phase 2 involves further communication with the employee leading to completion of the performance evaluation. Phase 2 consists of the following steps:

1. **Conduct a self-assessment meeting.** The rating phase should begin with a follow-up meeting with the employee to discuss the employee's completed self-assessment form (self-assessment meeting). The employee will provide the supervisor with a copy of the completed self-assessment for discussion. This meeting allows the supervisor additional input and information that will assist in completion of the annual evaluation. It also allows for continuation of the two-way communication process by allowing the employee the opportunity to provide input concerning their job performance during the evaluation period as well as supervisory input related to initial feedback on performance for the same period. This meeting helps ensure that both the employee and supervisor are on the same page prior to completion of the performance evaluation. The self-assessment meeting should focus on the areas outlined in the self-assessment form:

   – <u>Section 1</u>: Accomplishments/contributions during this evaluation period. This includes discussion on performance related to PD Section 5 - Functions for Organizational Success. It should also include any accomplishments and/or contributions related to PD Section 4 (Competencies for Organizational Excellence) as well as those that may not be PD specific. Discussion should also include any areas in which the employee feels he/she may be facing challenges.

   – <u>Section 2</u>: Progress meeting improvement/development plans from Section 5 of the previous year's evaluation.

   – <u>Section 3</u>: Employee suggestions for improvement/development.

   – <u>Section 4</u>: Supervisory support needed during the upcoming year to assist the employee in the performance of their assigned job duties, progress toward improvement, development plans, etc.

The supervisor should then explain next steps in the PM process.

2. **Complete performance evaluation form.** After the Self-Assessment meeting, the supervisor should then complete the performance evaluation form based on the employee's self-assessment and any information gathered during the self-assessment meeting, current PD, previous performance evaluation, information contained in the employee's performance file along with any other pertinent information and/or sources (i.e. other supervisory personnel with knowledge of the employee's performance during the evaluation period) applicable to the current reporting period. The evaluation should include the assessment of the effectiveness of an employee's work performance since their last formal review. The performance evaluation is located electronically in the Performance Management (PM) online system located at: http://www.ttuhsc.edu/hr/performancemanagement/authenticated/Options.aspx.

The Rating Scale: Employee performance in sections 1-3 (competencies, functions/standards, and improvement/development plan progress) of the performance evaluation will be rated by the supervisor utilizing the following scale:

Performance Level Rating (1-7)		
Rating	**Rating**	**Description**
1	**Consistently Below Expectations**	*This level of performance (or lack of) which fails to meet expectations occurs with regularity and with predictability.*
2	**Frequently Below Expectations**	*This level of performance (or lack of) which fails to meet expectations occurs often, but with no predictability*
3	**Occasionally Below Expectations**	*This level of performance (or lack of) which fails to meet expectations occurs intermittently, now and then*
4	**Meets Expectations**	*This rating shows that the employee meets all the expected performance standards and requires only the normal amount of supervision. This should be the norm of expected performance/conduct and, therefore, it can be anticipated that the majority of the workforce will fall into this category on many job competencies, functions and associated standards of performance.*
5	**Occasionally Above Expectations**	*This level of performance which exceeds expectations occurs intermittently, now and then*
6	**Frequently Above Expectations**	*This level of performance which exceeds expectations occurs often, but with no predictability*
7	**Consistently Above Expectations**	*This level of performance which exceeds expectations occurs with regularity and predictability, over and over*

Note: *Note: Per HSCEP OP 70.12, an employee is required to receive a follow-up evaluation*
Three months after an employee receives the following on a performance evaluation:
- *An "overall" rating of less than 4.0*
- *An overall "section" rating of less than 4.0*

Mistakes to avoid:
- Bias: This happens when the evaluator's own prejudice/bias such as race, national origin, sex, appearance, etc., influences the appraisal in a discriminatory manner.
- Contrast: This happens when the employee is compared to other employees, rather than on the basis of an objective review of the employee's actual job performance.
- Similarity/Favoritism: This occurs when an evaluator give staff members that they favor or who are perceived to be like them higher ratings than those who are not. As a result, favoritism comes into play leading to possible discrimination related issues.
- Recent Effect: This occurs when a recent positive or negative event disproportionately impacts the overall performance evaluation/rating.
- Central Tendency: A rating of (4) shows that the employee meets all the expected performance standards and is the norm of expected performance. Yet, playing it safe and giving everyone a middle of the road rating (4's) also does employees a disservice if the ratings given do not accurately reflect actual performance.
- Strictness/Leniency: Belief that performance standards are too low or that "no one is perfect" and therefore refuse to give high ratings. Others insist on giving everyone a high score for fear of "offending" staff members. Neither approach is correct.
- Halo/Horn effect: The "halo" effect occurs when the employee's extreme competence in one area "shines" over all others. Conversely, there may be a "horn" effect if the employee is rated poorly overall because of substandard performance in one area.

Keys to providing effective evaluations (and avoiding evaluation related mistakes):
- Maintain a record (performance file) of notable job-related occurrences of both a positive and negative nature throughout the year.
- Ensure the evaluation reflects the entire review period, not just the most recent performance leading up to completion of the evaluation.
- Ensure evaluations are conducted in a legal, non-discriminatory manner by basing the performance evaluation on the specific elements of the job. Avoid any comments/discussion with the employee that may be considered discriminatory.
- Explain and rate performance against behaviors, functions and standards and support your assessments with accurate, observable and objective examples.
- When evaluating performance, be consistent with all employees in the application of established ratings criteria as compared to actual performance.

  – Discuss your evaluations with your supervisor (preliminary administrative review) before giving the final evaluation to your employees.

  – Keep your explanations and feedback constructive, simple and easy to understand.

  – Complete evaluations with sincere attention to the work and productivity of the employee: Give the employee the attention he or she deserves.

  – Complete the evaluation in a timely manner. Model good management behavior, employees know when the deadline is for completing evaluations.

3. **Conduct Preliminary Administrative Review.** After the evaluation form has been completed, but before it is discussed with the employee, a preliminary administrative review is highly recommended. This involves the supervisor reviewing the proposed ratings/evaluations (for all employees that the rater supervises) with the supervisor's administrator. This allows the administrator to ensure consistency between the various evaluators (supervisors) within his/her area of responsibility and that evaluations were properly completed based on lawful, job related and non-discriminatory criteria. By reviewing evaluations at this point, the administrator and supervisor can address and correct any possible issues before the evaluation is presented to the employee.

Phase 3: The Evaluation Conference Phase

The evaluation conference is the opportunity for the supervisor to perform one of the most important tasks of a supervisor, that of providing feedback to employees. Due to its importance, the evaluation conference takes considerable preparation. Phase 3 consists of the following steps:

1. **Prepare for the evaluation conference meeting.** To prepare for this meeting the supervisor should:
   - Schedule sufficient time for the meeting. Typically a minimum of 1-hour should be allotted.
   - Secure a location that allows for privacy to limit interruptions and distractions.
   - Let the employee know ahead of time when the meeting will be conducted and what they need to bring so that the employee may be prepared.
   - Review all relevant employee information and be prepared when the meeting begins.

2. **Conduct the evaluation conference meeting.** Once the evaluation conference has been scheduled it's now time to meet with the employee to discuss the finalized evaluation. This includes a summary of informal evaluations or discussions that have taken place throughout the year. The meeting also allows the employee to determine how he/she is doing, both generally and in relation to specific objectives and provides an opportunity for the employee to give feedback to the supervisor. For this reason, employee input should be encouraged throughout the meeting. During the meeting, in addition to covering all areas of the completed evaluation with the employee, particular attention should be paid to areas in which the employee may need additional improvement/development.

The ideal evaluation conference one in which the employee does most of the talking and accurately appraises his/her work performance. Beginning the meeting and immediately involving the employee in the discussion is extremely important. From the start, strive for a friendly and relaxed atmosphere. Begin by explaining the purpose of the evaluation and its value. The supervisor should then discuss the job itself and the performance standards which have been established before discussing how well the employee may have met these standards. The supervisor should let the employee know that the supervisor is really interested in making the meeting as productive as possible for the employee and for the department. The supervisor should show appreciation of the employee's successes and direct any criticism at the employee's work, rather than at the employee personally.

Discuss the evaluation to include coaching, counseling and training activities the employee will need before the next formal review to continue to grow, to develop new skills, or to improve other aspects of job performance. Identify any recommended changes in job performance necessary to promote the employee's development.

The evaluator should be a good listener, should be patient, and should ask leading questions that permit learning about the department or office. Above all, the evaluator must not be argumentative. The objective is not to criticize, but to help the employee understand and accept the positive and negative aspects of job performance. Constructive feedback is essential.

Finally, the supervisor and the employee should ***electronically sign/date*** the original evaluation form. The employee should also ***electronically sign/date*** the self-assessment form. A copy of both forms will be provided to the employee after the administrative review is complete.

Lastly, if it was determined during the meeting that the employee's duties listed on the PD will change for the upcoming evaluation period, the PD should be updated at that time to reflect the new changes. *Note: The supervisor must consult with the Human Resources Department if the new changes no longer reflect the nature and level of work identified in the previous position description to ensure the PD accurately describes the correct job code and exemption status per TTUHSCEP and Fair Labor Standards Act (FLSA) guidelines.*

Phase 4: The Administrative Review Phase

After the rating form has been completed and discussed with the employee, the supervisor will forward the completed evaluation to the supervisor's administrator for final review and sign-off. The purpose of the final administrative review is to ensure consistency between the various evaluators (supervisors) within his/her area of responsibility and that appraisals were properly completed/conducted based on lawful, job related and non-discriminatory criteria.

The administrative review also allows for discussions between the supervisor and the administrator allowing the administrator the opportunity to provide feedback to the supervisor

about how the supervisor is fulfilling the supervisory role and how well the supervisor's individual unit is functioning. Any discrepancies identified with evaluations at this point must be addressed accordingly.

A copy of the signed Self Assessment Form and Performance Evaluation should be provided to the employee. The signed original confidentiality statement form should be forwarded to the Human Resources Office for placement in the employee's personnel file and copies should be retained by the supervisor.

Phase 5: The Implementation Phase

The implementation phase is the lengthiest phase of the PM process. Typically, it spans the evaluation period between January-December following finalization of the annual performance evaluation (no later than the end of February).

It involves the supervisor making sure any plan of action agreed upon during the appraisal interview is being implemented (Section 5 of the performance evaluation form). This may be something the supervisor agreed to do, or something the employee agreed to do.

It also involves creating a climate of open communication so that the employee will find it easy and desirable to approach the supervisor for further help or discussion at anytime.

Throughout the year (implementation phase), a supervisor should discuss an employee's work performance with the employee frequently enough to provide the employee with adequate feedback to perform the work satisfactorily. The frequency of these discussions differs with each individual and is dependent on the individual employee's skill level, type of work performed, work environment, etc. The frequency of discussion should be often enough to build an atmosphere that encourages an exchange of ideas and feelings about the job between the employee and supervisor, to eliminate an uncomfortable atmosphere.

Keeping accurate records throughout the year on how the employee performs is necessary because most supervisors find it difficult to recall all aspects of an employee's performance over time. Since the annual evaluation requires the supervisor to summarize the work of an employee up to an entire year, it is recommended that supervisors maintain a performance file on all employees that they supervise. A performance file is a record containing notable job-related occurrences of both a positive and negative nature throughout the year. Keeping a performance file will help the supervisor evaluate employee performance in a more accurate and just manner.

As the implementation phase of the performance evaluation progresses throughout the year, it leads directly to the preparation phase for the next evaluation. In this manner, the *cycle* of performance management continues from the employee's first day of work until retirement, or other separation.

PERFORMANCE MANAGEMENT (PM) CHECKLIST

STEPS FOR COMPLETING EMPLOYEE EVALUATIONS

Phase 1- Preparation:

_____ Read HSCEP OP 70.12 and Attachment A to ensure understanding of the PM process
_____ Gather employee performance records and related information
_____ Review employee Position Description (PD). Provide a copy to employee for review as well.
_____ Meet with employee to explain PM process/timelines:
       _____ Review PD (make updates as needed)
       _____ Review PM process/timeline
       _____ Provide a copy of current PD and last evaluation (if the employee
            doesn't already have a copy) as well as the link to self-assessment form
       _____ Provide instructions for completing self-assessment form
       _____ Set deadline for submission
       _____ Answer any questions the employee might have regarding the process

Phase 2 – Rating:

_____ Meet with employee to discuss the self-assessment (Self-Assessment meeting):
       _____ Discuss self-assessment input. Focus on:
           _____ Accomplishments/contributions during this evaluation period
           _____ Progress meeting improvement/development plans
           _____ Employee suggestions for improvement/development
           _____ Supervisory support
       _____ Discuss supervisor's initial evaluation of overall performance during
            evaluation period. Solicit discussion/feedback.
       _____ Explain next steps in the PM process
_____ Complete Performance Evaluation Form in the Staff Performance Management System
(after the Self-Assessment Meeting):
       _____ Review employee PD, performance file, self-assessment, other applicable information
       _____ Complete performance evaluation online
_____ Conduct preliminary Administrative Review with Administrator

Phase 3 – Evaluation Conference:

_____ Prepare (in advance) for the meeting (time, location, preparation)
_____ Conduct the Evaluation Conference
       _____ Meet with employee to discuss completed performance evaluation
       _____ Electronically sign/date evaluation and self-assessment
       _____ Update PD for upcoming year (if applicable)

Phase 4 – Administrative Review:

_____ Provide evaluation(s) to administrative officer for review/signature
_____ Make necessary changes (if applicable)
_____ Provide employee with a copy of the signed performance evaluation and self-assessment

Phase 5- Implementation:

_____ Implement improvement/development plans identified in Section 5 of evaluation form
_____ Maintain ongoing performance/development feedback (and performance file) throughout the year