THE PERFORMANCE MANAGEMENT PROCESS

A Guide for Vice Presidents, Directors, Managers and Supervisors to assist them with Performance Management and Performance Appraisals at Wheeling Jesuit University
Performance Management

There are two (2) distinct processes at WJU, each with its own evaluative instrument. If the individual you are evaluating is a STAFF (Non-Exempt) employee, reference Section III; if the individual you are evaluating is an ADMINISTRATIVE (Exempt) employee, reference Section IV.

I. DEFINITIONS

1. **Evaluator** – the individual who is assessing the performance of a subordinate employee, the “supervisor”. The relationship is defined in the University on the Organization Charts.
2. Reviewing Manager – the managerial person immediately above the Evaluator within the organization.
3. Evaluation Ratings – there are four (4) measures:
   - **Exceeded Objectives** – for this specific measure, the employee exceeded the expectations as defined by the goals, job description or competencies. This is rated as a “4”;
   - **Achieved Objectives** – for this specific measure, the employee met the expectation as defined by the goals, job description or competencies. This is a rated as a “3”;  
   - **Achieved Some Objectives; Needs Improvement** – for this specific measure the employee may have met the goal, job description or competencies in-part but needs to address this specific item. A simple note to the employee to re-direct his / her efforts may be all that is required; however, specific training may be necessary to achieve an improvement in performance. This is rated as a “2”;  
   - **Did not meet Objectives** – for this specific measure, the employee did not meet the goal, requirements noted in the job description or competencies. The employee must improve and training or re-training is mandated. Continued failure may result in disciplinary action up to and including termination. This is rated as a “1”.
4. **OBJECTIVE SETTING AND PERFORMANCE EVALUATION PROCESS - STAFF** – the evaluating instrument to be used whenever a Staff (Non-Exempt) employee is to be evaluated.
5. **OBJECTIVE SETTING AND PERFORMANCE EVALUATION PROCESS – ADMINISTRATION** – the evaluating instrument to be used whenever an Administrator (Exempt) employee is to be evaluated.
6. **EMPLOYEE SELF EVALUATION – OBJECTIVES ASSESSMENT** and **OBJECTIVES DEVELOPMENT** – two additional tools to be used when Administrative (Exempt) employees are evaluated. The Employee Self Evaluation - Objectives Assessment must be given by the Evaluator to the employee when the date of the performance evaluation meeting is established; the employee then completes this form and brings it to the meeting. The Objectives Development is completed by the Evaluator and the employee at the conclusion of the performance evaluation meeting to establish objectives for the coming fiscal year.
7. **FEEDBACK REQUEST (360 DEGREE) FORM** – may be used by the Evaluator to help obtain anonymous, impartial, responses on the employee’s performance from co-workers and customers. This is only for Administrative employees to provide additional feedback on the employee’s competencies.
8. **PERFORMANCE IMPROVEMENT PLAN (PIP)** – may be used by the Evaluator to define areas in need of immediate performance improvement for any employee at any time and in response to an employee who receives a “2” or less in any of the three areas (Goals / Objectives, Job Description or Competencies) on the performance evaluation.

II. PRE-REQUIREMENTS

1. The Evaluator must pre-schedule and coordinate with the employee being evaluated a date to conduct the performance evaluation. Employees should never be called in to summarily receive an evaluation absent time to prepare [EXCEPTION: a performance issue requiring immediate attention and the development of a possible PIP].
2. The **Evaluator** and the employee should prepare notes to verify where the employee has fulfilled his / her obligations as defined by the Goals / Objectives from the previous year, the requirements of the job description and adherence to all key competencies defined as necessary by the University. The forms noted above are to be given to the employee in advance to help focus and gather thoughts and ideas.

3. Both the **Evaluator** and the employee should come to the meeting prepared to discuss the employee’s performance over the previous year.

4. The **Evaluator** must insure that established Goals / Objectives follow the S-M-A-R-T formula where:
   - Specific – the objective is clearly defined and expressed.
   - Measurable – the objective has definitive steps, percentages, etc, that can be measured.
   - Achievable – the employee must stretch but can achieve the objective.
   - Relevant – the employee knows that the objective is related to his / her area of performance or the University’s goals and is not arbitrary or capricious.
   - Timely – the measure is specified in terms of due dates so it can be tracked.

5. Feedback Request - If a Feedback Request (360 Degree format on Competencies) is used, the **Evaluator** must send the form out to those employees who work with the employee being evaluated, report to the employee being evaluated or are recipients of the employee’s work as customers. No more than five (5) Feedback Requests should be used and the **Evaluator** is responsible for accumulating and assessing the information received and compiling it anonymously into the performance evaluation. The forms must be sent and received back for compilation prior to the performance evaluation meeting.

III. **OBJECTIVES SETTING AND PERFORMANCE EVALUATION PROCESS – STAFF (NON-EXEMPT)**

1. The **Evaluator** must download the form titled, "**OBJECTIVE SETTING AND PERFORMANCE EVALUATION PROCESS - STAFF**", to his / her desktop or laptop.

2. The **Evaluator** must complete the required information in the blue boxes at the bottom of the first page (Employee Name, Date, Title, Department, and **Evaluator**).

3. On the page labeled, "**Review Employee Objectives**", in the blue spaces, the **Evaluator** must briefly summarize the employee’s performance when compared to the objectives established at the conclusion of the last performance evaluation. The objectives should be evaluated in priority sequence, the most critical being first. There should be three (3) objectives. After each objective, the **Evaluator** clicks on the drop down rating box and selects the appropriate rating. The average rating will be calculated automatically. If there are less than 3 objectives, select ‘3’ for the rating in the blank (empty) objective rating box.

4. When completing the performance evaluation with the employee, the **Evaluator** should briefly summarize and enter any employee comments in the boxes after the ratings. Attach a copy of the objectives from the prior year (being evaluated) to the back of the evaluative instrument.

5. Continuing to the area labeled "**Review Essential Functions of the Position,**" the **Evaluator** should summarize the employee’s overall performance compared to the essential functions of the position as noted on the employee’s job description. Note specific areas where the employee “Exceeded Objectives”, “Achieved Some Objectives; Needs Improvement” or “Did not meet Objectives.” These are the areas either worthy of commendation or to be designated as possible goals for improvement in the subsequent year. Unless noted, it will be assumed that the employee “Achieved Objectives.”

6. The **Evaluator** should select a rating from the drop down box to evaluate the employee’s overall performance of the essential functions of the position. Note that there is only one (1) rating for this
area. The overall rating will hinge on the preponderance of the employee’s performance. Continue on to the next page.

7. On the "Personal Competencies Assessment" page, the Evaluator must note comments in the blue boxes about each specific competency. These are determined by the University as necessary for the employee and the University to achieve success. The Evaluator selects a rating from the drop down box for each competency and the average is calculated automatically. If a competency doesn’t apply, the Evaluator enters a ‘3’ for the rating in that competency’s rating box.

8. In the “Overall Performance Evaluation” blue box, the Evaluator must comment on the employee’s overall performance noting specific behavior-related examples of how the employee achieved the results necessary for the department to meet the University’s strategic plan. Note that the Overall Performance Rating has been calculated automatically in the "Overall Evaluation Rating Box" based upon the sections assessed earlier. The Evaluators overall comments must reflect the overall rating. For example, it would be difficult to state that an employee “achieved all position requirements” when, in fact, the overall rating provided was a “2”.

9. At the conclusion of the scheduled performance evaluation, or shortly thereafter, the Evaluator and the employee must enter the three (3) "Key Objectives" for the next annual review period on the, "Key Objectives Development," page. The "Key Objectives" will address any deficiencies noted within the evaluation and development activities designed to help the employee perform the functions of the position more efficiently and fulfill the requirements of the University’s strategic plan.

10. The Evaluator must sign, print and date the completed performance evaluation, have the employee sign and date it, and forward it to the Reviewing Manager for signature. Once all signatures are obtained, a copy should be given to the employee and the original copy with signatures should be sent to the Human Resources Department. The Evaluator should retain a copy for his / her records, particularly the "Key Objectives" developed for the coming year.

IV. OBJECTIVES SETTING AND PERFORMANCE EVALUATION PROCESS - ADMINISTRATION

1. The Evaluator must download the form titled, "OBJECTIVE SETTING AND PERFORMANCE EVALUATION PROCESS – ADMINISTRATION" to his / her desktop or laptop.

2. The Evaluator sends to the employee to be evaluated a copy of the "EMPLOYEE SELF EVALUATION – OBJECTIVES and OBJECTIVES DEVELOPMENT" in advance of the performance evaluation meeting. The employee should complete these documents, print them, and bring them to the meeting for discussion. These should be reviewed as the Evaluator discusses the employee’s performance and is included in the forms to be sent to the reviewing manager for signature.

3. The Evaluator reads the first page and completes the required information in the blue boxes at the bottom of the first page (Employee Name, Date, Title, Department, and Evaluator).

4. On the page labeled "Supervisor’s Evaluation – Objectives Assessment", the employee’s name should already be entered; the Evaluator enters his / her name as the supervisor.

5. In the blue spaces, the Evaluator briefly summarizes the employee’s objectives established at the last performance evaluation. The objectives should be listed in priority sequence. There should be a maximum of 5 objectives. After each objective, the Evaluator clicks on the drop down rating box and selects the appropriate rating. If there are less than 5 objectives, enter a ‘3’ in the blank (empty) objective rating box. At the bottom of the objectives section, the form will automatically average the ratings for the "Objectives Assessment - Overall Rating."
6. The *Evaluator* continues on to the next page, "Personal / Leadership Competencies Assessment", commenting, where applicable, on each of the Competencies on this page. After each competency, the *Evaluator* clicks on the drop down rating box and selects the appropriate rating for each competency. If one of the competencies does not apply to this employee, enter a ‘3’ in that competency’s rating box. The form will automatically average the ratings in the "Personal / Leadership Competencies – Overall Rating."

7. The *Evaluator* continues on to "Review Essential Functions of the Position," summarizing the employee’s overall performance compared to the essential functions of the position as noted in the employee’s job description, giving specific examples of quantitative or qualitative results. Note specific areas where the employee “Exceeded Objectives”, “Achieved Some Objectives; Needs Improvement” or “Did not meet Objectives.” These are the areas either worthy of commendation or to be designated as possible goals for improvement in the subsequent year. Unless noted, it will be assumed that the employee “Achieved Objectives.” After entering comments on the essential functions, the *Evaluator* clicks on "Review Essential Functions of the Position – Overall Rating" and selects a rating from the drop down box.

8. In the next section, the *Evaluator* comments on the "Overall Performance" of the employee. The overall performance rating will be calculated automatically from all the sections assessed earlier. The *Evaluators* overall comments must reflect the overall performance rating. For example, it would be difficult to state that an employee “achieved all position requirements” when, in fact, the overall rating provided was a “2”.

9. The *Evaluator* should then print the first 4 pages of the performance evaluation to review with the employee at the time of the performance evaluation (during the performance evaluation meeting); at the conclusion of the meeting both the *Evaluator* and the employee should sign and date this form.

10. Together the *Evaluator* and the employee should complete the new objectives for the coming year on the "Employee Goals and Objectives Development" page. Any comments concerning the new objectives should be made in the comments box at the end of the page. These objectives will be the basis for the subsequent year’s performance evaluation. The *Evaluator* and the employee should also sign and date this page and forward all of the forms to the reviewing manager for signature.

11. When all signatures are obtained, a copy of all the documents should be given to the employee and the pages, including the, "Employee Self Evaluation" page, should then be sent to the Human Resources Department. The *Evaluator* should retain a copy for his / her records, particularly the "Employee Objectives Development" page for the coming year.

V. **POST-REQUIREMENTS**

1. Once the documents (evaluation instrument and goals / objectives) have been signed by the *Evaluator*, the employee and the reviewing manager, the employee and the *Evaluator* must retain a copy and the original must be sent to Human Resources.

2. The *Evaluator* and the employee should schedule periodic reviews of the goals / objectives for the year to insure that the employee is on-course for successful completion. The goal of the University’s performance management process is to help the employee become successful and, in doing so, help the University become successful.

3. Training and development on the process and corrective action are available through Human Resources.