



April 1, 2016, is the commencement of IU East’s annual performance appraisal process. Enclosed is all of the necessary information to guide supervisors and employees through the process. Please take some time to read through this booklet to familiarize yourself with its contents and use it as a resource as you go through the performance appraisal process.

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## **IU EAST'S PHILOSOPHY FOR THE PERFORMANCE APPRAISAL PROCESS**

### **Why Appraise Performance?**

The performance appraisal is a communication tool designed to support each individual's contribution to the IU East community. Each employee is entitled to a thoughtful and careful appraisal. Its success depends on the supervisor's willingness to complete a constructive and objective appraisal, and on the employee's willingness to respond to constructive suggestions and work with the supervisor to reach future goals.

Periodic reviews help supervisors gain a better understanding of each employee's abilities. The goal of the review process is to recognize achievement, evaluate job progress, and design training for the further development of skills and strengths. A careful review should help stimulate employee's interest and improve job performance. The review provides the employee, supervisor, Vice Chancellor, and the office of Human Resources a critical, formal feedback mechanism on an annual basis; however these discussions should not be restricted solely to a formal annual review. Frequent communication is essential to maintain good performance throughout the year.

### **The Quarterly Conversations**

In order to facilitate frequent communication between supervisors and employees, a new quarterly conversation tool has been created. Quarterly conversations should be a part of the performance appraisal process, and can be used as frequently as employees and supervisors see fit. It is recommended that this tool be used, as it will help employees and supervisors recalibrate their performance objectives and goals throughout the year, so the formal performance appraisal process can be more rewarding.



**TIME TABLE FOR THE COMPLETION OF  
2018 PERFORMANCE EVALUATION PROCESS**

<b>December 2017</b>	Forms posted on Human Resources website at <a href="http://www.iue.edu/hr/staffevaluation.php">http://www.iue.edu/hr/staffevaluation.php</a> .
<b>January 22, 2018</b>	All supervisors schedule meetings with staff for evaluations; must be scheduled at least two weeks ahead of time.
<b>February 5, 2017 – February 28, 2017</b>	Annual Evaluation meetings between supervisor and employees.
<b>March 1, 2018</b>	All signed evaluation forms submitted to Reviewers by supervisors.
<b>March 1, 2018 – March 9, 2018</b>	Reviewers look over the forms and meet with supervisors when there are questions.
<b>March 12, 2018</b>	All completed evaluations are due to Human Resources where they will be reviewed by HR and put into employee personnel files.
<b>April 2018</b>	Supervisors schedule and hold first Quarterly meeting with employees.
<b>July 2018</b>	Supervisors schedule and hold second Quarterly meeting with employees.
<b>October 2018</b>	Supervisors schedule and hold third Quarterly meeting with employees.
<b>November- December 2018</b>	Supervisors meet with each employee and discuss their job description. They will update the job description, as needed, to reflect any substantive changes to the key duties, responsibilities or requirements of the position. All final job descriptions (signed by employee, supervisor, and Vice Chancellor) should be sent to the Office of Human Resources.
<b>December 2018</b>	Supervisors, department heads and employees receive an e-mail announcing the start of the appraisal process and a link to the appraisal forms.



## TIPS FOR EMPLOYEES ON NAVIGATING THE PROCESS

- The appraisal process provides you with the opportunity to step away from your job and consider your performance with fresh insight.
- Be positive and open. While we all have the tendency to be overly critical of ourselves, this appraisal is meant to bring out your positive qualities and consider areas for improvement.
- In the same spirit, give constructive suggestions to your supervisor when it applies. When you cite an area that needs attention, offer suggestions for improvement.
- Take sufficient time to prepare for your performance meetings with your supervisor. These meetings provide the best opportunities to freely discuss your performance and goals with your supervisor.

## TIPS FOR SUPERVISORS ON NAVIGATING THE PROCESS

In preparation of the appraisal, familiarize yourself with all aspects of the process. To properly complete the performance appraisal form, it is essential that you thoroughly understand the duties and requirements of the position held by the employee. Therefore, you should review the Position Description distributed at the start of the performance appraisal process. If you do not have a copy, please contact the Office of Human Resources.

After reviewing the Position Description and holding an initial performance meeting with the employee, begin completing the Performance Competencies section on the appraisal form. In order to determine an overall performance rating the following in mind:

- **Be objective.** Eliminate personal prejudice and feelings of favoritism.
- **Consider each performance area independently.** Do not assume that excellence in one area implies excellence in all areas or that poor performance in one area implies poor performance in all areas.
- Base your appraisal on **observed performance** during the appraisal period, not on what is expected in the future.
- Evaluate overall performance throughout the entire appraisal period. Do not base the ratings only on significant successes and failures. These should be considered in context with the **total performance**.
- Consider various aspects of the employee's performance that you want to discuss with the employee. The appraisal process should serve as a stimulus for **better communication** between you and the employee.
- Consider your appraisal in terms of the employee's **present** duties, not in terms of the duties of a future or past description.

The appraisal should reflect fair judgment of the employee's work performance. Make helpful suggestions and provide adequate instruction. Be prepared to discuss these items.

**Performance Competencies** (Depending on position, some competencies may be more relevant than others.)

Exceptional:	Performance is consistently superior and significantly exceeds position requirements.	Exceptional	Highly Effective	Proficient	Inconsistent	Unsatisfactory	New/Not Applicable
Highly Effective:	Performance frequently exceeds position requirements.						
Proficient:	Performance consistently meets position requirements.						
Inconsistent:	Performance meets some, but not all position requirements.						
Unsatisfactory:	Performance consistently fails to meet minimum position requirements; employee lacks skills required or fails to utilize necessary skills.						
New/Not Applicable:	Employee has not been in position long enough to demonstrate the essential elements of the position and will be reviewed at a later agreed upon date.						
1. Key Duty and Responsibility: To lead campus-wide outreach programs and initiatives in support of outstanding academic experiences for all learners.	Performance Feedback ( <i>information-specific, issue-focused, and based on observations</i> ): 1) Clear evidence of collaboration, communication and consistency. 2) Successful implementation and ongoing management of the (xxxxxxx) curriculum. 3) Identification of (xxxxxxx) strategy that assured purposeful, consistent and effective advising.	<input type="checkbox"/>					
2. Key Duty and Responsibility: Collaborates with key partners to envision the future of (xxxxxxx).	Performance Feedback ( <i>information-specific, issue-focused, and based on observations</i> ): 1) Secured provision of faculty development programs and workshops by working with (xxxxxxx). 2) Measured effectiveness of programming by soliciting user feedback.	<input type="checkbox"/>					
3. Key Duty and Responsibility: Provide leadership, professional expertise, and direction in the planning and execution of high quality events and functions.	Performance Feedback ( <i>information-specific, issue-focused, and based on observations</i> ): 1) Event outcomes for (xxxxxxx) showed evidence of insufficient planning and/or attention to detail. This was discussed during a quarterly conversation and a model of responsiveness and collegiality has been present since.	<input type="checkbox"/>					



## THE FINAL PERFORMANCE APPRAISAL MEETING

1. The supervisor and employee meet to discuss the employee's performance during the appraisal period and to discuss potential goals for the upcoming appraisal period.

2. Schedule the performance meeting in advance, allowing sufficient time to prepare for the meeting. Select a time free of stress for both participants. If possible, hold the meeting in a room that is neutral ground, not in the supervisor's office where interruptions could occur.

**Two-way Discussion** of the employee's performance during the appraisal period is one of the most critical parts of the process. Allow adequate time for this meeting. Recognize that the review process is a high priority and is intended to be a constructive and cooperative process. Its primary emphasis is to foster development and growth. To help create such a tone and setting, consider these suggestions:

- Ask questions **and listen**. Be open-minded to the information and opinions presented.
- Discuss **strengths**. This will sustain and reinforce high performance.
- Make suggestions **constructive**. When you point out a need for growth or change, offer suggestions for improvement.
- Consider each other's **point of view**. Remember each person will respond differently in a performance meeting.
- Keep comments **job-centered**. Avoid discussing personality unless it adversely affects job performance or your department's operation.
- Schedule a follow-up meeting to discuss the final Employee Appraisal form.

3. After the initial performance meeting, the supervisor constructs their Employee Appraisal form and determines an overall performance rating for each employee. The supervisor/department head then meets with their respective Vice Chancellor to discuss the overall performance of each employee and the completed appraisal forms. Once the Vice Chancellor is satisfied that the appraisal is complete and accurate, the form(s) will be signed.

4. The supervisor then meets with the employee to discuss the final Employee Appraisal form and overall performance rating, finalizes the goals and professional development areas for the upcoming year, and has the employee sign and add any comments.

5. All signed forms will be returned to the Vice Chancellor, who in turn will forward them to the Office of Human Resources.

## DETERMINING AN OVERALL PERFORMANCE RATING

On the last page of the Employee Appraisal Form, a summary box is provided to assist the supervisor in determining an overall performance rating. Determining the final performance rating is challenging, as performance area averaging must be used. The supervisor must decide which performance areas evaluated should be weighted more heavily than others depending on the employee's job responsibilities. Depending on the performance ratings of the most important performance areas, the overall performance rating may be adjusted.