



NORTHEASTERN
STATE UNIVERSITY

Employee Performance Appraisal for 2016 Guide to Using Form A, B and C

Overview

NSU has implemented new performance appraisal forms designed to rate multiple performance areas that lead to successful performance, and align with the mission, vision and values at NSU. Each employee should be evaluated based on the job duties, and general job performance factors. An effective performance appraisal system for NSU starts with four basic criteria: improve communication, improve performance, encourage employee development and guide personnel actions.

Performance appraisal forms are important documents that must be completed using responsible communication. Each is discoverable in a court of law.

Job descriptions are designed to outline responsibilities, and not intended to be a list of all duties. NSU updated job descriptions have been prepared as an important element to the NSU grading system. Changes to any job description must be carefully evaluated, and will be coordinated and completed by the Office of Human Resources.

Purpose

The purpose of performance appraisal is to measure levels of job-related behavior. Performance appraisal is a management tool used to improve communication, improve performance, encourage employee development, and guide personnel actions.

Process

All staff employees will have a completed performance appraisal on file in the Office of Human Resources by October 1, 2016.

The Employee Performance Appraisal will use comprehensive employee performance appraisal forms found on-line on the Office of Human Resources website. These forms include: Form A for non-exempt or grade 10 and under positions; Form B for exempt/salaried positions; and Form C for positions that report directly to a Vice President.

Supervisors should use the current job description as the foundation for the performance appraisal. NSU's mission, vision, values and service excellence values should be considered when evaluating job performance factors, and setting all goals and objectives. Each supervisor should identify the core job duties in the job description, and assess the employee's performance on each of those duties.

Performance Ratings for Form A and B

A two level performance rating will be utilized on Form A and B. In using the scale, each supervisor should consider the extent to which the employee meets the expected standards for all job factors. Performance level definitions include:

DOES NOT MEET EXPECTATIONS -Employee requires improvement in the area listed and/or job duties. Staff member is not performing acceptably in this area or job duty. Performance improvement is required to be retained in the position. The employee must improve, and will be evaluated on an on-going basis. Areas rated at a Does Not Meet Expectations level must be discussed with an action plan for improvement. Employees with fifty percent of rating below standard must have an active Performance Improvement Plan on record with a new evaluation date set for 90 days.

MEETS EXPECTATIONS - Employee performs job duties and expectations for the area evaluated. Normal guidance and supervision are required. This level represents "Good Performance" and should be used for those employees who perform well in the job, and meet job factors at proficient, competent and effective levels.

If the employee has not been observed performing a duty, write, "NOT OBSERVED" next to the factor item or use the N/A (non-applicable) column.

In an effort to support any rating, supervisors must provide justification or comment. Justification must validate the rating.

Steps for Form A

Step I

Review the job description to ensure it is current and represents the essence of the job.

Step II

From the employee being evaluated, request completion of the Performance Review Employee Self-Assessment Form. This form should be returned to the supervisor before beginning the performance appraisal form.

Step III

Complete the employee specific information at the top of the performance appraisal form. Each supervisor should identify the core job duties in the job description, and complete the job performance factors. Break down the specific job duties to identify strengths and opportunities for each employee. Check the appropriate performance scale.

Step IV

Review goals established in the previous performance appraisal or within the last 12 months. Copy or type each goal into the appropriate line by entering those goals that are most significant or had the greatest impact on the performance, department or NSU. Rate each goal based on the measurable criteria established, such as time (deadline), percent, amount and/or dollars. Include comments and justifications to support the ratings. Additional goals may be added and evaluated on a separate page.

Step V

Provide an overall summary of the employee's performance. Focus on the areas of strength and areas where there is an opportunity for improvement.

Step VI

Establish new goals for completion throughout the coming year. Enter goals based on significance or impact on the University, department or individual performance. Set measurable goals using time, amount, percentage, dollars. Tie goals into the mission, vision and values of NSU and how those filter down to the department and individual performance. Establish a calendar to check progress on a regular basis throughout the year. Modify goals as needed and provide coaching to help ensure progress.

Step VII

For employees, who have performed at a level that consistently and substantially exceeded job performance expectations, the Additional Consideration section should be completed. Validation for an individual who exceeds expectation must represent considerable performance over and above what is expected of the position. That high level of performance must have been consistent and sustained throughout the period of evaluation. Justification that should be a normal job expectation for any position or employee will not be accepted and will be questioned. For example, returns telephone calls and responds to emails promptly, turns in reports on time or helps each student with exceptional service is what is expected in our daily performance. Justification must sufficiently represent what an individual has accomplished over and above what is expected in the job. This information may be reviewed by NSU cabinet.

Step VIII

Utilize individual department processes for review of completed performance appraisal forms, and obtain appropriate signatures from dean or director.

Step IX

Schedule a private meeting with each employee, allow suitable, uninterrupted time, and review the performance appraisal. Be prepared to modify goals as negotiated with each employee. Encourage the employee to add comments. Obtain signatures as required, and forward the completed form to the Office of Human Resources.

Steps for Form B

Step I

Review the job description to ensure it is current and represents the essence of the job. If more than 12 duties are listed on the job description, contact the Office of Human Resources to consider a revision to condense the number.

Step II

From the employee being evaluated, request completion of the Performance Review Employee Self-Assessment Form. This form should be returned to the supervisor before beginning the performance appraisal form.

Step III

Complete the employee specific information at the top of the form. Each supervisor should identify the core job duties in the job description, and insert job-specific duties into the performance appraisal form. Specific job duties may be taken from the current job description located on the M Drive, HR, Jobs, and

then copy and paste each duty from the job description into each line. Additional job duties may be added to a second page. Check the appropriate performance scale.

Step IV

Assess the employee's performance on each duty. Include comments and justifications to support the ratings. Check the appropriate performance scale. Provide an overall summary of the employee's performance. Focus on the areas of strength and areas where there is opportunity for improvement.

Step V

Rate each of the nine job performance factors which include 1) Attitude/Professionalism, 2) Innovation/Change/Initiative, 3) Job Knowledge/Technical Skills/Quantity of Work, 4) Decision Making/Problem Solving, 5) Planning, Organizing, and Time Management Skills, 6) Dependability/Reliability, 7) Communication, 8) Interpersonal Skills/Teamwork and 9) Supervision and Leadership, if applicable. Include comments and justifications to support the ratings.

Step VI

Review goals established in the previous performance appraisal or within the last 12 months. Copy or type each goal into the appropriate line by entering those goals that are most significant or had the greatest impact on the performance, department or NSU. Rate each goal based on the measurable criteria established, such as time (deadline), percent, amount and/or dollars. Include comments and justifications to support the ratings. Additional goals may be added and evaluated on a separate page.

Step VII

Complete the Employee Work Plan. Establish new goals for completion throughout the coming year. Enter goals based on significance or impact on the University, department or individual performance. Set measurable goals using time, amount, percentage, dollars. Tie goals into the mission, vision and values of NSU and how those filter down to the department and individual performance. Establish a calendar to check progress on a regular basis throughout the year. Modify goals as needed and provide coaching to help ensure progress.

Step VIII

For employees, who have performed at a level that consistently and substantially exceeded job performance expectations, the Additional Consideration section should be completed. Validation for an individual who exceeds expectation must represent considerable performance over and above what is expected of the position. That high level of performance must have been consistent and sustained throughout the period of evaluation. Justification that should be a normal job expectation for any position or employee will not be accepted and will be questioned. For example, returns telephone calls and responds to emails promptly, turns in reports on time or helps each student with exceptional service is what is expected in our daily performance. Justification must sufficiently represent what an individual has accomplished over and above what is expected in the job. This information may be reviewed by NSU cabinet.

Step IX

Utilize individual department processes for review of completed performance appraisal forms, and obtain appropriate signatures from dean or director.

Step X

Schedule a private meeting with each employee, allow suitable, uninterrupted time, and review the performance appraisal. Be prepared to modify goals as negotiated with each employee. Encourage the employee to add comments. Obtain signatures as required, and forward the completed form to the Office of Human Resources.

Steps for Form C

Review the job description to ensure it is current and represents the essence of the job.

From the employee being evaluated, request completion of the Performance Review Employee Self-Assessment Form or another form of self-assessment as determined by the Vice President. This form should be returned to the supervisor before beginning the performance appraisal form.

Complete the individual's information. Summarize the employee's performance, and complete each section as listed. Include comments and supporting statements. Focus on the areas of strength and areas where there is opportunity for improvement.

Schedule a private meeting with each employee, allow suitable, uninterrupted time, and review the performance appraisal. Obtain signatures as required, and forward the completed form to the Office of Human Resources.

Resources

Resources to assist with effective performance appraisal are available by calling the Office of Human Resources, attending training programs offered by the Office of Human Resources, and reviewing resources and information on Blackboard.