Performance Appraisal
A Strategic Approach to Maximizing Employee Engagement
Baylor’s Mission Statement

The mission of Baylor University is to educate men and women for worldwide leadership and service by integrating academic excellence and Christian commitment within a caring community.
Leadership Commitments

The leadership commitments serve as a supplement to the core commitments for those in management roles to reflect stewardship of the university’s resources.
Benefits of Performance Appraisals

- To understand workload
- To plan organizational structure
- To identify development needs
- To allocate compensation
- To celebrate accomplishments of employees
- To learn from experience
- To identify and develop strengths of employees
- To identify and develop areas of improvement of employees
- To plan for the coming year, both department-wide and employee-specific
- To clarify expectations

For Managers:
- To celebrate accomplishments of employees
- To learn from experience
- To identify and develop strengths of employees
- To identify and develop areas of improvement of employees
- To plan for the coming year, both department-wide and employee-specific
- To clarify expectations

For Employees:
- To celebrate accomplishments
- To learn from experience
- To identify and develop strengths
- To identify and develop areas of improvement
- To plan for the coming year
- To clarify expectations

Generally:
- To communicate
- To understand
- To listen

Organizationally:
- To understand workload
- To plan organizational structure
- To identify development needs
- To allocate compensation
Performance Review: Phases

Phase I: Preparation
- Setting
- Prepare Form & Rehearse Conversation
- Provide Documentation

Phase II: Beginning
- Begin with Strengths, Then Discuss Development Areas
- Provide Examples
- Solicit the Employee’s Questions or Comments

Phase III: Middle
- Provide Suggestions for Performance Improvement
- Solicit the Employee’s Questions or Comments

Phase IV: End
- Summarize
- Last Chance, Thank you
- End on a Positive Note and Discuss Next Steps
What to address…

Should

• Cite specific examples and provide specific goals.
• Reinforce positive behaviors and their business impact.
• Refer to both:
  – the job description (essential functions; special knowledge, skills, or other abilities; what the employee does)
  – and the core competencies (behavioral, how they do it)

Should not be:

• Feedback should not address motives or personality
• Punitive rather than constructive
• Unrelated to work or work relationships
• Avoid labels and generalizations
Prepare Form

Use the Word document version as a tool to start composing your thoughts for this year.

*Keep in mind that your final responses will need to be input into the online version of the form once it becomes available and is submitted to you by your employee.*

Think about the employee’s past year of work:

- Highlight 3-5 accomplishments of the past year – training, projects, performance measures, *check the learning record of the employee*
- Recognize mission-based impacts and how the employee adjusted to changes in the department
- Describe 3-5 areas where the employee needs to adjust or improve
- Set 3-5 goals for the employee’s coming year
- STAR and STAR-AR Methods
- Manager Expectations
Positive Feedback - STAR

(S) There was a lot of inefficiency in the process students used to find courses which resulted in frequent last-minute changes.

(T) Develop or outsource a system that improves our inefficiency for helping students find courses.

(A) Researched and implemented a new scheduling software that will make the process more user-friendly. Used a marketing plan to target the appropriate audience in our department for effective transition.

(R) There is less need for physical storage space due the transition for electronic filing system and a significant increase in locating records.
Developmental Feedback – STAR-AR

(S) The university needs more awareness and training regarding diversity.

(T) Make diversity training available to staff at Baylor.

(A) One online training was offered.

(R) The University does not take diversity seriously, only 12 people enrolled, and awareness has increased marginally.

(A) Pursue an alternative online course, market the training through multiple avenues, and/or offer in-person classes to engage people directly.

(R) Managers are aware of inherent biases when it comes to performance appraisals, hiring process, as well as internal promotions and raises. Increased buy-in from those who can hear you speak about diversity personally.
Performance Indicator

- Significantly Exceeds Expectations:
  Performance consistently exceeds goals, job requirements, and expectations, and is significantly beyond the scope of the job requirements in ways that enhance or improve work assignments or work area.

- Exceeds Expectations:
  Performance consistently meets and frequently exceeds goals, job requirements, and expectations. Assignments are completed in a highly effective manner.

- Meets Expectations:
  Performance is dependable and meets goals, job requirements, and expectations. Occasionally some assignments are completed in a highly effective manner.

- Partially Meets Expectations:
  Performance does not consistently meet goals, job requirements, and expectations in essential areas. Improvement is required and may result in a Performance Improvement Plan in coordination with HR.

- Does Not Meet Expectations:
  Performance does not meet goals, job requirements, and expectations. Immediate improvement is required via a Performance Improvement Plan and Observation Process (reference BUPP805, Staff Observation Process). Since continued performance at this level could result in disciplinary action or termination of employment, coordination with HR is required.
## Phase I Setting: Self-Evaluation

### Preparation

<table>
<thead>
<tr>
<th>Question</th>
<th>COMPLETED?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Is the setting conducive to the conversation that we need to have?</td>
<td></td>
</tr>
<tr>
<td>How does this feedback benefit the employee? Provide feedback that will help the employee? Can I speak with assurance? (what to say, how to say it, and admit what I don’t know)</td>
<td></td>
</tr>
<tr>
<td>Am I emotionally and spiritually able to have a Crucial Conversation with the employee?</td>
<td></td>
</tr>
<tr>
<td>Have I identified and planned for areas of possible disagreement during the review? How can I foster an open and positive discussion? How can I make employees feel comfortable during the feedback discussion?</td>
<td></td>
</tr>
<tr>
<td>Have I requested feedback for my direct reports from other sources (e.g., peers, internal customers) to ensure I have a complete picture of their performance?</td>
<td></td>
</tr>
<tr>
<td>Have I identified performance strengths and examples that demonstrate these strengths? Can I describe the impact of those behaviors on the department?</td>
<td></td>
</tr>
<tr>
<td>Have I pinpointed the one or two areas of performance weakness that I will address in this review? Is the employee’s performance issue a part of a pattern in his or her performance levels?</td>
<td></td>
</tr>
<tr>
<td>Have I identified concrete examples that demonstrate the impact of these performance weaknesses? Can I describe the impact of those behaviors on the department?</td>
<td></td>
</tr>
<tr>
<td>Have I identified possible action steps that the employee and I can take to help close any development gaps?</td>
<td></td>
</tr>
<tr>
<td>Have I created an outline of talking points where the bulk of the review is on strengths, and any weaknesses are put into context?</td>
<td></td>
</tr>
</tbody>
</table>

### Future

<table>
<thead>
<tr>
<th>Question</th>
<th>COMPLETED?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have I ensured that I have a plan for next steps (e.g., timeline for creating a development plan)? What tangible next steps can I provide to the employee to address the performance weakness?</td>
<td></td>
</tr>
<tr>
<td>Have I clearly identified performance expectations for the next review cycle or set up a time to discuss them in the near future?</td>
<td></td>
</tr>
<tr>
<td>How can I motivate the employee to avoid future mistakes? What is the outcome if the employee changes his or her behavior? How can the employee use his or her personality strengths to improve performance weaknesses?</td>
<td></td>
</tr>
</tbody>
</table>

### Conclusion

<table>
<thead>
<tr>
<th>Question</th>
<th>COMPLETED?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Have I allowed the employee to discuss his or her performance weaknesses with me? Have I allowed the employee to give his or her perspective?</td>
<td></td>
</tr>
<tr>
<td>Have I listened to the employee’s perspective and incorporated it into my analysis of the situation?</td>
<td></td>
</tr>
<tr>
<td>Have I worked with the employee to identify next steps for resolving consequences of mistakes?</td>
<td></td>
</tr>
</tbody>
</table>
### Phase I Setting: Self-Management

#### Guidelines for Identifying Potential Biases

<table>
<thead>
<tr>
<th>Bias</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Tendency Bias</strong></td>
<td>Raters differ in their tendency to evaluate people or performance.</td>
</tr>
<tr>
<td><strong>Halo Effect</strong></td>
<td>Too much significance to a single factor of performance.</td>
</tr>
<tr>
<td><strong>Recency Bias</strong></td>
<td>Recent events tend to overshadow the overall performance.</td>
</tr>
<tr>
<td><strong>Contrast Effect</strong></td>
<td>Rating employees one after another could affect the subsequent ratings of other individuals.</td>
</tr>
<tr>
<td><strong>Personal Bias</strong></td>
<td>Personal beliefs, assumptions, preferences, and lack of understanding about a person can lead to an unfair evaluation.</td>
</tr>
</tbody>
</table>
# Phase II Beginning

<table>
<thead>
<tr>
<th>Questions to Ask Direct Report</th>
<th>Direct Report Responses</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>I. Current Goals</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What is your favorite part of your current role?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What would you describe as your biggest strength?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• What one skill would you like to develop to improve in your current role?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>II. Future Roles</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• If there is one task or project type you’d like to do more frequently in your future roles, what would you select?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• If there is one task or project type you’d like to do less frequently in your future roles, what would you select?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>III. My Role</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• How can I best help you in your current role?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• How can I best help you achieve your career goals?</td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Are there other individuals you would like me to enlist to help you achieve your career goals (e.g., a colleague in a role you’re interested in pursuing)?</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Phase III Middle: Employee Development

Do…

✔ Frame problems as development opportunities.

✔ Be descriptive when giving examples – STAR-AR Method

✔ Emphasize words of encouragement.

Don’t’s…

✗ Uses Overly Negative Words

✗ Makes Generalizations

✗ Makes Value Judgments

“The main weakness that I’d like for you to focus on is attention to your lack of administrative details. You never submit paperwork on time and did a really bad job managing the Baylor account as a result.”
Phase III Middle:
Engaging Crucial Conversations Over Difficult Feedback

Do…

- Schedule plenty of time.
- Respond calmly to negative reactions.
- Own the feedback.
- Plan for failure
- Be candid, thoughtful, and professional.
- Restate employee comments.
- Follow up if necessary.
- Admit mistakes
- Transition to end state
- When discussing more developmental areas, summarize in the prior to discussing each individually

Don’t’s…

- Avoid difficult questions.
- Become defensive or apologetic.
- Express dissatisfaction with performance management systems or decisions.
- Prevent the employee from providing feedback
- Avoid making promises in which you are not the sole decision-maker.

Response: “I didn’t want to give you this rating, but I had no choice given how our system works.”
Plan for Reaction

- Hostility/Resistance/Denial
  - Phrase the feedback accurately

- Indifference
  - Allow the employee to speak openly and do not interrupt

- Lack of Confidence/Self Pity
  - Observe signs of emotional reactions

- Responsibility Skirting
  - Remain calm and composed, and handle the situation with care

- Shock/Anger
  - Realize more is expected of you
Summary

Do…

Before
- ✓ Schedule plenty of time.
- ✓ Plan for failure
- ✓ Frame problems as development opportunities.
- ✓ Be descriptive when giving examples – STAR-AR Method
- ✓ Emphasize words of encouragement.

During
- ✓ Own the feedback.
- ✓ Respond calmly to negative reactions.
- ✓ Restate employee comments.
- ✓ When discussing multiple developmental areas, summarize prior to discussing each individually

Overall
- ✓ Follow up if necessary.
- ✓ Be candid, thoughtful, and professional.
- ✓ Admit mistakes
- ✓ Definitive transitions
- ✓ 1 Peter 3:8-9

Don’t’s…
- ✗ Avoid difficult questions.
- ✗ Become defensive or apologetic.
- ✗ Express dissatisfaction with performance management systems or decisions.
- ✗ Prevent the employee from providing feedback
- ✗ Uses Overly Negative Words
- ✗ Makes Generalizations
- ✗ Makes Value Judgments
- ✗ Avoid making promises in which you are not the sole decision-maker.
Addendums

• Have to contact HRC
• They can be +/-
• You don’t need to respond
• Employees want to be heard on paper
Beyond the appraisal . . .

• Track your employee’s goals
  • In BaylorCompass, employee’s can add notes, update progress flag, status, and percent complete.
  • You can view progress of their goals and discuss it throughout the year.

• Communicate with your employees regularly
  • In BaylorCompass, you can view employee’s goal and learning progress.
  • Meet with your employees regularly and reinforce expectations set in the performance conversation.
  • Provide feedback using the STAR-AR model for both positive and developmental feedback.

• Support your employee’s learning opportunities for personal and professional development
  • In BaylorCompass, employees can search the Learning Library for activities related to competencies they would like to develop. You can view their learning activities, as well, through the My Employees page.
  • Encourage them to pursue opportunities to improve current processes and procedures.
  • Seek opportunities to connect employee’s work with goals, strategic vision, and the overall university mission. Help them to learn more about the work of the department and partner areas.
Baylor Legacy

• Make Disciples
• God Bless