



Performance Appraisal System

2017

University of New England Performance Appraisal System

Purpose and Philosophy

The purpose of the Performance Appraisal System at UNE is to ensure that managers and employees agree on the quality and quantity of work expected, the level at which the employee is performing that work, and where there is a need for improvement. This effort to monitor and communicate employees' progress and performance should be completed by each manager in a written performance appraisal on a regular basis, generally no less than once a year.

It is the philosophy of UNE to create an environment where feedback on performance is ongoing and productive. University-wide performance appraisals are conducted on an annual basis. The supervisor's appraisal of performance serves as the basis for discussion about performance and in setting job objectives.

Performance Appraisal Objectives

It is the policy of UNE to develop and maintain a Performance Appraisal System, which will:

- Provide employees a structured format for constructive feedback on their performance and to evaluate the achievement of previously set goals. This provides an opportunity for discussion and clearer articulation and definition of performance expectations.
- Allow employees to grow and succeed in their job. It provides a performance history which is not dependent upon human memory, and which may be useful in the full range of personnel decisions, including compensation decision-making.
- Provide motivation to employees by paying salaries based on the individual job performance and time on the job.
- Provide for a system that will permit the University to meet its strategic goals and to view one's performance in the context of broader organizational goals.
- Provide a link between performance assessment and employee career development. It provides an opportunity for discussion of career objectives, and creation of a strategy designed to maximize career potential.

Frequency of Appraisals

Keeping employees informed on their progress is an ongoing process and should be completed as often as necessary to keep employees on track. This "informal", verbal feedback mechanism provides the opportunity to adjust work assignments and continually improve levels of performance. No written documentation is necessary for this part of the appraisal process unless the employee is being placed on a Performance Improvement Plan.

At least once a year, each supervisor/manager should complete a formal written performance appraisal for each reporting employee. This is done in March, April and May

and sets goals and objectives for the coming year and identifies any areas of improvement that may be needed.

Six months after the formal review process, or around October or November, there should be a brief follow-up discussion that outlines progress against set goals and updates any additional areas of improvement that may be needed.

Forms

There is a wide variety of forms that may be used to complete a comprehensive performance appraisal. We have provided two different types of Performance Appraisal Forms for staff to assist managers to evaluate the performance of their employees. Managers may use the form that best suits their personal style, as the type of form used is less important than the actual appraisal of performance. One form uses a “check mark” system with space for Illustrative Examples and the second uses a more “free form” written assessment.

Both forms are designed to answer four main questions:

1. What is expected of the employee?
2. At what level is the employee performing?
3. What areas of improvement (if any) are required?
4. What are the goals to be achieved in the coming year?

System Maintenance and Audit

The Performance Appraisal System will be administered by Department managers, forwarded to Human Resources and are audited on an on-going basis for compliance and annually to monitor consistent, fair, and equitable use of the program.

Job Descriptions

It is the intent of UNE to maintain a job description for each job in the organization. It is the responsibility of the manager to develop job descriptions in conjunction with the Performance Appraisal Process. Job descriptions shall be brief statements of principal duties and responsibilities and provide a framework upon which performance objectives can be set. Job descriptions should be reviewed in preparation of performance appraisals and any time job duties change significantly.

Job Appraisal

Job Appraisals provides a system to measure each job by the same set of standards. To determine the relative value of the position to the organization in a fair and equitable manner, each position is evaluated using market pricing and internal equity comparisons. Using market data and internal equity statistics, the Human Resource Department will assist you if a Job Appraisal is necessary.

Rating Factor Definitions

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| <u>WORK QUALITY:</u> | Displays accuracy, thoroughness, and attention to detail in work. |
| <u>PRODUCTIVITY:</u> | Produces desired volume of work; uses time effectively; prioritizes well. |
| <u>JOB KNOWLEDGE:</u> | Demonstrates knowledge of job duties, responsibilities, skills, and organizational procedures; displays ability to apply job knowledge to unique situations, and understands how the job fits into institutional operations and objectives. |
| <u>DEPENDABILITY:</u> | Demonstrates consistency in the production of desired results: follows through on task completion; meets time schedules. |
| <u>INITIATIVE:</u> | Demonstrates self-starting ability, capacity to act promptly; to accept responsibility, and to take independent action where required. |
| <u>ADAPTABILITY:</u> | Demonstrates ability to adjust to changes in job, stress, deadlines, assignments, methods, personnel, or surroundings with little difficulty; demonstrates flexibility, deals effectively with new responsibilities. |
| <u>COOPERATION:</u> | Displays ability to work with others as a member of a team, consistent with institutional goals and objectives; willingly accepts supervision and direction; promotes positive public relations. |
| <u>JUDGMENT:</u> | Demonstrates ability to analyze or evaluate situations and select proper course of action. |
| <u>SAFETY/SECURITY/ CYBER SECURITY:</u> | Displays safety and security consciousness for self and others in day to day performance. Follows established Cyber Security guidelines. |
| <u>ATTENDANCE:</u> | Arrives and departs at scheduled times. Absences are infrequent. |
| <u>COMMUNICATION:</u> | Expresses written and verbal information in clear, concise, well-organized manner to fellow employees, supervisor, public, and students; keeps others informed as appropriate; demonstrates the ability to listen actively. |
| <u>PLANNING and PROBLEM SOLVING SKILLS:</u> | Establishes realistic goals and objectives; anticipates future developments and their effects on the planning process; formulates and implements effective action plans; identifies and establishes work priorities; remains on or ahead of |

schedules and meets deadlines. Demonstrates the ability to anticipate, analyze and define; foresees consequences of decision-making, quickly develops logical, effective solutions to problems.

Additional Rating Factor Definitions for Managers

SUPERVISORY

SKILLS:

Demonstrates sensitivity to needs of subordinates; provides guidance and assistance to subordinates as necessary; delegates effectively; handles subordinates' performance problems effectively; encourages subordinates' training and development.

MANAGERIAL

SKILLS:

Provides leadership; motivates subordinates in a positive manner; makes effective use of existing resources; solicits and actively considers other's views; evaluates the effectiveness of programs on a continuing basis; displays fairness and objectivity in decision-making.

PROFESSIONAL

DEVELOPMENT:

Demonstrates ability to learn from successes, failures, and experiences; demonstrates a willingness and openness to learning from the experience of others; evaluates training needs and establishes plans to meet them; possesses and demonstrates knowledge of current developments in the field.

BUDGETARY

MANAGEMENT:

Demonstrates awareness of limited financial resources, and efficiently utilizes available resources; plans and controls expenditures within constraints of existing budgets.

PERFORMANCE

APPRAISAL:

Conducts performance appraisals in a thoughtful, thorough, and timely manner. Assures that all appraisals conducted by persons under his/her supervisory authority are consistent with organizational guidelines (e.g., timeliness, use of illustrative examples, avoidance of typical pitfalls, etc.)

Definitions of Performance

The key to any Performance Rating System is consistent use of definitions for each rating. At UNE we base those ratings on five levels of achievement. Pay for Performance is directly linked to the overall rating achieved on the Performance Appraisal with

“Outstanding”(O), “Highly Satisfactory”(HS), “Satisfactory”(S), “Needs Improvement” (NI), and “Unsatisfactory” (U) rating.

OUTSTANDING

Performance at this level is outstanding in all aspects of the job. Overall contribution is substantial and well above peers. It indicates consistently strong performance over the entire performance cycle with results that contribute significantly to the unit’s success.

Outstanding performance is characterized by:

- managing time and priorities to achieve maximum work output
- taking on additional responsibilities with eagerness
- workload includes complex, numerous, or unusual projects requiring special attention
- consistently completes tasks early or on time with little or no re-work
- works well independently and rarely needs direction after initial explanation of the assignment
- provides creative and ingenious solutions to all types of problems
- consistently seeks new challenges
- provides creative ideas
- achieves high levels of performance during periods of change
- has significant positive influence on management and peers
- demonstrates an interest in improving work and professional/personal growth
- sets a personal example for others to follow in giving 100% effort and contribution to the university.

An “Outstanding” rating is considered to be a performance that is truly above and beyond the performance levels expected. Few employees would be expected to receive this rating.

HIGHLY SATISFACTORY

Performance at this level is highly satisfactory within the scope of the performance goals. The employee performs the more difficult and complex parts of the job competently and thoroughly, including extra or unique assignments and at times, contributes significant results on his/her initiative.

This rating may be used when one or more objectives were exceeded and all others were met. The overall pattern of performance is important.

The employee normally anticipates and adapts to changes in the job environment. A manager can be quite sure of getting above-average results from this performer on any given task.

Highly satisfactory performance is characterized by:

- maintaining a workload that is greater than expected for the position
- workload includes complex tasks and assignments

- consistently completes tasks early or on time
- minimal direction required
- provides creative solutions to varying problems
- seeks new challenges and provides creative ideas with good implementation record
- can maintain a high level of performance during periods of change
- consistently is a positive influence on the performance of others

A “Highly Satisfactory” rating signifies that performance exceeded the requirements of the job throughout the performance cycle.

SATISFACTORY

Performance meets standards and job requirements in all aspects. Overall contribution is of a consistent quality. **Such a rating reflects a job well done.**

The employee functions at the appropriate level and accomplishes the results expected on the job. Performance is steady, reliable, and competent.

The employee may require some coaching and instruction in the newer or more complex aspects of the job.

Satisfactory performance is characterized by:

- carrying a moderate to heavy workload
- taking on duties as asked and requires standard, regular supervision
- work is done on time
- work meets standards, is complete and well done, and the amount of rework is limited
- ability to solve everyday problems encountered on the job with sensibility and confidence
- positively contributes to the working environment by example

A “Satisfactory” rating is considered to be performing the job in a fully competent manner over the entire review period. This rating is for an employee who meets performance expectations relative to the goals and objectives of the position. Most employees would fall into this category.

NEEDS IMPROVEMENT

Performance does not meet all the requirements of the job. Greater effort is needed in some, but not all, areas. Performance meets standards and job requirements at times, but improvement in one or more areas is needed.

This rating reflects coaching or training is needed to develop further competence.

Employee needs to make a concentrated effort to improve performance in some areas.

The employee’s performance sometimes falls below the acceptable standard in one or more critical objectives. The employee failed to carry out some objectives or responsibilities.

For the individual who has been in the position long enough to learn the job performance needing improvement is characterized by:

- carrying a workload that is lighter than expected for the position
- the workload consists of tasks and assignments which are usually routine in nature
- unable or unwilling to accept additional tasks or challenges
- completes some tasks on time and others late; some re-work may be required
- requires moderate direction; may need extra management attention
- actions and behaviors may detract from a team effort.

This category is appropriate for employees newly hired, promoted or reassigned and still learning the job. However, this is essentially a negative rating if the employee has been on the job long enough to sustain a satisfactory level of performance. A development/ improvement plan, with periodic progress reviews, should be instituted immediately.

UNSATISFACTORY

Performance fails to meet the requirements of the job. Release or reassignment may be justified. Continuation in the position at the same level of achievement is not acceptable.

Results are frequently not accomplished unless under constant supervision.

This employee is a marginal performer who failed to meet critical objectives. This rating can also be used if the person has not responded to the development/improvement plan of a “some development required” rating.

Unsatisfactory performance is characterized by:

- the workload is below the level that is expected of the position
- workload includes tasks and assignments which are usually routine in nature
- does not complete tasks on time; re-work is usually required
- requires many directions and extra management attention
- lacks problem-solving initiative – relies on assistance to resolve routine problems
- actions and behaviors detract from a team effort

A rating of “Unsatisfactory” signifies the employee’s performance is far below the essential requirements of the job and may indicate the need to release or reassign the employee. At the very least, a development/improvement plan, with periodic progress reviews, should be instituted immediately.

Closing

The performance appraisal system can be a valuable tool for all involved. A well-done appraisal can establish clear expectations and a point of reference to ensure everyone is working toward a common goal. If you have any questions during the appraisal process, please feel free to reach out to Human Resources.