performance management at ASU

OHR tutorial for leaders
the performance management process, tools and resources
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    3. overall performance rating
      • rating tips
• templates (for 2013)
  – staff and management
  – future focus
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• employee’s role
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  – performance development plan
• resources
review core expectations, job standards and set annual goals

deliver performance evaluation
agree on development plan

conduct periodic 1:1s – provide coaching and feedback

prepare performance evaluation
prepare for performance discussion

review employee’s annual accomplishments against standards, core expectations and goals

ASU performance management process
required elements for managing performance

- all ASU administrative, university staff and classified staff *must* receive an *annual performance evaluation*

- the evaluation *must* include an assessment of performance against university core expectations, a narrative that describes performance for the prior 12 months, performance goals and a development plan for the upcoming 12 months

- every employee *must* receive an overall rating based on a *5-point* rating scale
performance management policies

• *individuals who supervise employees are accountable* for understanding and implementing the program

• the *Office of Human Resources is accountable* for maintaining performance management tools and guidelines, and for providing training and consultation on their use

quick links to performance management policies

**spp 309-01**: classified staff performance evaluation

**spp 808**: performance management for university staff
available templates

• performance evaluation
  - staff: used to measure annual performance for ASU staff who do not lead people or a function [get the template]
  - management: used to measure annual performance for all ASU employees who lead people, a function or significantly affect university culture [get the template]

• self-evaluation: not required but recommended [get the template] staff or manager

• performance development plan: used to plan developmental goal, objectives and activities for university employees [get the template]

important note: For consistency units are strongly encouraged to use these templates but may develop their own format as long as all required elements are present in the form. [see the required elements]
leader’s role
leader’s responsibilities
during the year
• hold 1:1 meetings throughout the year to provide regular coaching and feedback
• observe and document performance throughout the year
  – develop specific job standards, goals and development objectives for each employee
at evaluation time
• spend a sufficient amount of time preparing the evaluation, focusing on the future
• conduct the discussion
leader’s responsibilities

*after the performance discussion*

- send the original, signed evaluation to OHR file room, mail code 1304, for filing
- retain a copy for your department file
- provide the employee with a copy
- record discussion and outcomes
- ensure that ratings are entered in PeopleSoft
  - see [business process guide](#) or [quick reference guide](#)
leader’s responsibilities

after the performance discussion (cont’d.)
• minimize barriers to employee achievement
• ensure all employees have time to take advantage of developmental opportunities
• continue to hold 1:1, touch-base sessions with your employees

contact your unit's HR partner with any questions regarding this process
ratings & scale
five-point rating scale

the ratings are further defined on form

5 = consistently exceeds performance expectations
4 = frequently exceeds performance expectations
3 = performance expectations fulfilled
2 = fails to meet performance expectations
1 = inconsistently fulfills performance expectations

note: leaders should make appropriate use of the full span of the five-point rating scale to differentiate performance.
## Evaluation Rating Chart

<table>
<thead>
<tr>
<th>5</th>
<th>Consistently Exceeds Performance Expectations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Consistently exceeds performance expectations</td>
</tr>
<tr>
<td></td>
<td>Demonstrates exceptional quality of work in all essential areas of responsibility</td>
</tr>
<tr>
<td></td>
<td>Almost always makes an exceptional or unique contribution in achievement of unit, department, and university objectives</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4</th>
<th>Frequently Exceeds Performance Expectations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Almost always achieves performance expectations and frequently exceeds them</td>
</tr>
<tr>
<td></td>
<td>Demonstrates performance of a very high level of quality</td>
</tr>
<tr>
<td></td>
<td>Significantly contributes to the success of the services and projects they support</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3</th>
<th>Performance Expectations Fulfilled</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Work is of high quality in all significant areas of responsibility</td>
</tr>
<tr>
<td></td>
<td>Consistently fulfills performance expectations and periodically may exceed them</td>
</tr>
<tr>
<td></td>
<td>Any performance concerns are resolved through coaching, feedback, and self initiative</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>2</th>
<th>Inconsistently Fulfills Performance Expectations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The employee’s work does not consistently meet the job requirements of the position. While the employee may have performed acceptably in some areas, job performance needs to be improved</td>
</tr>
<tr>
<td></td>
<td>For a “Results” or “Overall” rating of 2, a performance improvement plan (PIP) is recommended; a PIP is not needed for a 2 rating in a core competency</td>
</tr>
<tr>
<td></td>
<td>Coaching from the supervisor is recommended</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>1</th>
<th>Fails to Meet Performance Expectations</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>The employee’s work is below the basic requirements and immediate and continued improvement is required</td>
</tr>
<tr>
<td></td>
<td>A performance improvement plan is to be discussed and agreed to by the employee and the supervisor</td>
</tr>
<tr>
<td></td>
<td>Continued failure to show improvement may result in additional action</td>
</tr>
</tbody>
</table>

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Small but important changes made for 2013. Get the details at [www.brainshark.com/arizonastateuniversity/PerformanceEvaluationForms2013](http://www.brainshark.com/arizonastateuniversity/PerformanceEvaluationForms2013)
what gets rated

3 areas need a rating

1. results achieved by the employee (new for 2013)

2. core expectations (CE)
   • each individual CE (n=7)
   • combined CE rating

3. overall rating for the year
   (combination of 1 and 2 above)
1. job results achieved
rating job results

results rating (new for 2013)

• summarize results such as accomplishments and/or deficiencies for the evaluation period including goals, projects and specific job responsibilities/
  standards

• rate on the 5 point scale and enter in the top maroon bar
results comments

- document factors relevant to ratings for results
- provide examples as appropriate
- examples are required for ratings of 1 or 5
2. core expectations
   a. individual CEs
   b. combined CE rating
a. core expectations (CE)

• both staff and management have seven CEs
• employee performance must be rated against every CE
• document relevant factors
  – provide examples/comments
  – comments are required for ratings of 1 or 5
<table>
<thead>
<tr>
<th>Service-oriented, Positive Attitude, Helpful</th>
<th>Trustworthy, Adheres to Ethics and Compliance Standards</th>
<th>Collaborative, Team-oriented</th>
<th>Productive, Commitment to ASU</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provides exceptional service by distributing accurate, useful information that supports university objectives</td>
<td>Demonstrates integrity under all circumstances</td>
<td>Works effectively with others, both inside and outside the university, to accomplish university goals</td>
<td>Improves university effectiveness by finding creative solutions that increase access to educational resources</td>
</tr>
<tr>
<td>Holds self and others to a high standard of quality and service</td>
<td>Adheres to university standards of ethics and compliance</td>
<td></td>
<td>Identifies and resolves problems and otherwise advances university mission</td>
</tr>
</tbody>
</table>

**Safety Training**

**Safety Expectations**
## University Core Expectations - ASU Staff

<table>
<thead>
<tr>
<th>Flexible, Adaptable</th>
<th>Respectful Communicator</th>
<th>Resourceful, Committed to Sustainability</th>
</tr>
</thead>
<tbody>
<tr>
<td>Welcomes and adjusts quickly to change</td>
<td>Expresses ideas clearly and adjusts communications to the intended audience</td>
<td>Actively seeks, acquires and promptly applies new knowledge and skills to support university goals</td>
</tr>
<tr>
<td>Remains flexible and productive at all times</td>
<td>Recognizes the need to communicate effectively with diverse faculty, staff and students throughout the university</td>
<td>Is aware of and supports the university’s sustainability programs</td>
</tr>
</tbody>
</table>

**Sustainability Expectations**
# University Core Expectations - ASU Managers

<table>
<thead>
<tr>
<th>Creates a Culture of Service to Students and Colleagues</th>
<th>Sets the Standard for Trust, Integrity, Transparency</th>
<th>Develops Staff and Fosters Teamwork</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Promotes exemplary service and sets a precedent for others</td>
<td>- Acts with integrity to foster trust and build cooperative relationships</td>
<td>- Provides coaching and resources to help team members develop their professional skills to fulfill university needs</td>
</tr>
<tr>
<td>- Sets high standards for quality and accuracy within department</td>
<td>- Takes personal responsibility for one’s actions</td>
<td>- Identifies employees’ strengths/weaknesses and provides feedback to improve and enhance team performance</td>
</tr>
<tr>
<td></td>
<td>- Follows through on commitments, agreements</td>
<td></td>
</tr>
<tr>
<td></td>
<td>- Ensures employees complete required safety training and performs job functions in compliance with ASU Health &amp; Safety Policies *</td>
<td></td>
</tr>
</tbody>
</table>

* [Safety Training](#)  
  [Safety Expectations](#)
## University Core Expectations - ASU Managers

<table>
<thead>
<tr>
<th>Executes Strategies to Get Results</th>
<th>Decision Making and Accountability</th>
<th>Cultivates Intellectual and Cultural Diversity</th>
<th>Fiscal Responsibility, Process Improvement, Sustainability</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Conducts ongoing strategic analyses to guarantee programs achieve identified goals</td>
<td>• Holds self and others accountable for delivering on commitments/standards through assigning clear authority and decision making</td>
<td>• Promotes a culture of inclusion by building a diverse team and embracing a variety of perspectives</td>
<td>• Is accountable for fiscal controls within department</td>
</tr>
<tr>
<td>• Is a self-starter who actively sets and achieves goals</td>
<td>• Seeks opportunities to achieve results, no matter what roadblocks occur</td>
<td></td>
<td>• Seeks strategies to improve internal processes</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>• Participates in and encourages team to support the university’s sustainability programs</td>
</tr>
</tbody>
</table>

[Sustainability Expectations](#)
reminder: safety expectations

ASU leadership is creating a culture of safety and believes it is important to hold employees accountable for completing required safety training and adhering to safety policies:

- in 2012, the core expectation on trust and integrity was enhanced to clarify the safety expectations for staff and management leader expectations:
- include the safety expectations in your evaluation of trust and integrity
safety expectations

staff
trustworthy, adheres to ethics and compliance standards
performs all job duties and functions in compliance with all ASU health and safety policies and completes all required safety training

management
sets the standard for trust, integrity, transparency
ensures employees complete all required safety training and performs job functions in compliance with ASU health and safety policies
b. combined CE rating

- combined rating for CEs may be weighted relative to results based on position/job function
- assign a rating for all CEs combined in the gold bar
  - don’t just average the CE ratings
3. overall rating
overall rating

• the overall rating is a combination of the results rating and the combined CE rating
  – you may weight results relative to CEs based on position/job function (optional)
• place rating in the second maroon bar
• rating must be a whole number
  – enter into PeopleSoft by June 30
• an overall rating of 1 or 2
  – recommend HR partner consultation
  – recommend Performance Improvement Plan
rating tips

• you may average the results rating with the combined core expectations rating, if you value them the same
• use an overall rating of 3 when work and/or results are of high quality
  – if not, use 2 or 1
  – when expectations were exceeded, use 4 or 5
• don’t force the distribution in your unit to a normal curve (it’s a statistics thing)
final overall evaluation/leader’s comments

- in the box below the overall rating, briefly recap results and CE comments
- this section provides the leader’s rationale for the overall rating
templates

a. staff
b. manager
New section added for 2013 with rating

ENTER RESULTS RATING (low) 1 2 3 4 5 (high): [ ]

CORE EXPECTATIONS (How results were accomplished - behaviors)

<table>
<thead>
<tr>
<th>Core Expectations for Staff</th>
<th>Rating 5 (high) - 1 (low)</th>
<th>Supervisor Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service-oriented, Positive Attitude, Helpful</td>
<td>5</td>
<td>REQUIRED for Rating 5, 1</td>
</tr>
<tr>
<td>Trustworthy, Adheres to Ethics and Compliance Standards</td>
<td>4</td>
<td>Recommended for Rating 4, 3, 2</td>
</tr>
<tr>
<td>Collaborative, Team-oriented</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Productive, Commitment to ASU</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Flexible, Adaptable</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Respectful Communicator</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Resourceful, Committed to Sustainability</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

ENTER CORE EXPECTATIONS RATING (low) 1 2 3 4 5 (high): [ ]

Final Overall Evaluation (Leader’s summary comments)

ENTER AN OVERALL RATING (low) 1 2 3 4 5 (high): [ ]

Planning (next 12 months)

<table>
<thead>
<tr>
<th>Performance (core job duties, projects and defined goals)</th>
<th>Development (plans, expectations and resources)</th>
</tr>
</thead>
</table>

Employee Comments: [ ] Concur [ ] Do not concur

Employee Signature: ___________________________ Date: ____________ Date Entered into PeopleSoft: ____________ Attachments (Yes/No): ____________

Supervisor Signature: ___________________________ Date: ____________ Management Review: ___________________________ Date: ____________

Get the form
New section added for 2013 with rating

GET THE FORM
future focus:

• performance goals
  – summarize performance goals for the upcoming 12 month performance period
  – may take the form of results, projects or the attainment of defined work standards

• development plan
  include recommended/required areas of professional development or improvement for the upcoming performance period including objectives, activities or behaviors, measurements and time frames
comments and signatures

• the employee may comment on evaluation, job or resources
• employee and leader must sign the evaluation and keep a copy
  – original to Office of Human Resources UCNTRA mc 1304 by June 30
employee’s role
a. self evaluation
b. professional development plan
a. self-evaluation

• ask the employee to do a self-evaluation
  – to meet ABOR recommendation that employee participates
  – to refresh leader’s memory about achievements, goals, development, etc.
  – to suggest goals and development for coming year
  – prepare for dialogue during performance discussion

• don’t request numerical ratings
  – self-evaluation samples for managers and staff available
b. performance development plan (PDP)

- an employee development tool
  - not a disciplinary document
- staff are encouraged to complete a PDP
- designed collaboratively between the employee and supervisor
- goals based on strengths and opportunities noted in the performance evaluation as well as employee career goals
- objectives should be completed within the evaluation period
using the PDP template

1. where do you see yourself short term?
   - employee identifies the role, position or focus of their work as *they* see themselves in 1–2 years
   - leader helps identify appropriate development activities for the next performance cycle to build skills and competencies short term
using the PDP template

2. where do you see yourself long term?
   – employee identifies the role, position or focus of their work as they see themselves in 3–5 years
   – leader helps identify appropriate developmental activities for the upcoming performance year that will assist in building the necessary skills and competencies for longer term goals
using the PDP template

- objectives
  - briefly identify up to 3 short-term, measurable, time-bound steps that moves toward long-term goals

- purpose/reason statement
  - how it ties to the identified individual goal or to unit goals
  - how it supports projects or initiatives identified in the goals of the template
  - how it minimizes potential performance gaps
using the PDP template

- timeline
  - when the objective should be achieved
  - can be stated as one date or in milestones with sub-dates

- how will I achieve this objective?
  - specify activities the employee will engage in to complete this objective
  - examples include: training, participating on a project team or working on a new assignment
Performance Development Plan

**GOALS**

Where do you see yourself short term (1 - 2 years)?

Where do you see yourself long term (3 - 5 years)?

What are you doing to achieve your goals?

How can your leader assist you in achieving your goals?

**Objective #1**

Objective:

Purpose/Reason for identifying objective (what is this objective tied to?)

Timeline for completion:

How will I achieve this objective:

Completed Action:

<table>
<thead>
<tr>
<th>Action(s) / Project(s) / Task(s):</th>
<th>Objective Measurement(s)/Metric(s):</th>
<th>Projected Completion Date:</th>
<th>Completed?</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Yes</td>
</tr>
</tbody>
</table>
### Objective #2

**Objective:**

**Purpose/Reason for identifying objective (what is this objective tied to?):**

**Timeline for completion:**

**How will I achieve this objective:**

<table>
<thead>
<tr>
<th>Completed Action:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action(s) / Project(s) / Task(s):</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

### Objective #3

**Objective:**

**Purpose/Reason for identifying objective:**

**Timeline for completion:**

**Options for Achieving Objective:**

<table>
<thead>
<tr>
<th>Completed Action:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Action(s) / Project(s) / Task(s):</td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>

### Signatures

**PDP Establishment:** The Performance Development Plan has been reviewed and discussed. Interim discussions will be held on an as needed basis to ensure that you are receiving sufficient feedback, and have the resources necessary to complete the assigned objectives.

**Employee Signature:** ____________________________ **Date:** __________

**Supervisor Signature:** ____________________________ **Date:** __________
resources

policies
• **SPP 309-01**: Classified Staff Performance Evaluation
• **SPP 809**: Discipline (classified staff only)
• **SPP 808**: Performance Management for University Staff

templates
• performance evaluation template for staff
• performance evaluation template for management
• performance development plan (PDP) template
• performance improvement plan (PIP) template

process guides
business process guide or quick reference guide

training for staff and managers
• check current offerings or contact leadership & workforce development

contacts
• your HR partner can provide you with additional assistance or schedule PMP training for your unit; find your unit's HR partner.