|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
| **Eastern Oregon University Administrative Professional Annual Goals and Objectives Form** | | | | | | | | | | | | | | | |
|  | | | | | | | | | | | | | |
|  | |  | | |  |  | | |  | | | | | | |
| **Employee Name:** | |  | | |  | **EOU ID Number:** | | |  | | | | | | |
| **Department:** |  | | | |  | **Position Title:** |  | | | | | | | | |
| **Supervisor Name:** | | |  |  | | **Review Period:** | |  | | **to** | |  | | |
|  | | |  |  | |  | |  | | |  | |  | | |

Goals and Objectives are set for three primary reasons: (1) To align efforts of employee with the department/college; (2) To gain understanding and agreement on annual priorities; (3) To define how employee will grow and improve professional capabilities.

* Goals and Objectives should include *both* specific position responsibilities and specific professional development goals.
* The Time Frame indicates by when the goal should be accomplished.
* Measures are to be realistic and specific. It is imperative to describe how goal accomplishment is *objectively* measured.
* Outcome indicates how well each goal was achieved by the end of the review period. Use the same 1-5 rating scale as the Performance Review scale. Outcome ratings of Goals/Objectives are to directly support the ratings of Key Elements (Competencies).

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **#** | Goals and Objectives  (Specific, Achievable) | Time Frame | Indicate Specifically How Achievement is Objectively Measured | | Outcome  (at end of review period) | |
| **1** | *Professional Development:*  Collaboration and Communication Skills: |  |  | 5  4  3  2  1 | |
| **2** | *Professional Development:*  Knowledge:  Other: |  |  | 5  4  3  2  1 | |
| **3** |  |  |  | 5  4  3  2  1 | |
| **4** |  |  |  | 5  4  3  2  1 | |
| **5** |  |  |  | 5  4  3  2  1 | |
| **6** |  |  |  | 5  4  3  2  1 | |
| **7** |  |  |  | 5  4  3  2  1 | |
| **8** |  |  |  | 5  4  3  2  1 | |

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**Eastern Oregon University**

**Administrative Professional Annual Performance Review Form**

|  |  |  |  |  |  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- | --- |
|  | |  | | |  |  | | |  | | | |
| **Employee Name:** | |  | | |  | **EOU ID Number:** | | |  | | | |
| **Department:** |  | | | |  | **Position Title:** |  | | | | | |
| **Supervisor Name:** | | |  |  | | **Review Period:** | |  | | **to** |  | |
| **Is PD up to date? ❑ Yes ❑ No** If not up to date, last approved date? \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_20\_\_\_\_\_\_\_\_ | | | | | | | | | | | |

**Key Elements (Competencies):** *(Note: explanations of ratings are required in every section.)*

1. **Accomplishments** - the extent to which the employee met expectations in performing the job functions of their position as defined in documentation including employee’s PD, established goals and objectives; annual work plan, etc.

5 Outstanding: Consistently exceeded established expectations

4 Excellent: Frequently exceeded established expectations

3 Satisfactory: Achieved established expectations at normal levels

2 Needs Some Improvement: Achieved established expectations below normal levels

1 Substandard: Insufficiently achieved established expectations

Supervisor initial rating: \_\_\_\_\_\_ Explain supervisor’s reasons for initial rating:

Employee initial rating: \_\_\_\_\_\_ Explain employee’s reasons for initial rating:

Supervisor final rating: \_\_\_\_\_\_ Explain supervisor’s reasons for final rating:

1. **Service and Relationships** - the extent to which the employee's behaviors were directed toward fostering positive working relationships in a diverse workplace, respect for faculty and other staff, and cooperation with students, vendors, and visitors.

List of committee appointments, if any:

5 Outstanding: Consistently exceeded established expectations

4 Excellent: Frequently exceeded established expectations

3 Satisfactory: Achieved established expectations at normal levels

2 Needs Some Improvement: Achieved established expectations below normal levels

1 Substandard: Insufficiently achieved established expectations

Supervisor initial rating: \_\_\_\_\_\_ Explain supervisor’s reasons for initial rating:

Employee initial rating: \_\_\_\_\_\_ Explain employee’s reasons for initial rating:

Supervisor final rating: \_\_\_\_\_\_ Explain supervisor’s reasons for final rating:

1. **Accountability and Dependability** - the extent to which the employee contributed to the effectiveness of the department and the overall mission of the University. (Note: Time off approved under FMLA may not be considered.)

5 Outstanding: Consistently exceeded established expectations

4 Excellent: Frequently exceeded established expectations

3 Satisfactory: Achieved established expectations at normal levels

2 Needs Some Improvement: Achieved established expectations below normal levels

1 Substandard: Insufficiently achieved established expectations

Supervisor initial rating: \_\_\_\_\_\_ Explain supervisor’s reasons for initial rating:

Employee initial rating: \_\_\_\_\_\_ Explain employee’s reasons for initial rating:

Supervisor final rating: \_\_\_\_\_\_ Explain supervisor’s reasons for final rating:

1. **Adaptability and Flexibility** - the extent the employee exhibited openness to new ideas, programs, systems, and/or structures.

5 Outstanding: Consistently exceeded established expectations

4 Excellent: Frequently exceeded established expectations

3 Satisfactory: Achieved established expectations at normal levels

2 Needs Some Improvement: Achieved established expectations below normal levels

1 Substandard: Insufficiently achieved established expectations

Supervisor initial rating: \_\_\_\_\_\_ Explain supervisor’s reasons for initial rating:

Employee initial rating: \_\_\_\_\_\_ Explain employee’s reasons for initial rating:

Supervisor final rating: \_\_\_\_\_\_ Explain supervisor’s reasons for final rating:

1. **Decision Making and Problem Solving** - the extent to which the employee made sound and logical job-related decisions that were in the best interest of the University. (As applicable, this element includes developing and managing human and fiscal resources within the framework of University policy.)

5 Outstanding: Consistently exceeded established expectations

4 Excellent: Frequently exceeded established expectations

3 Satisfactory: Achieved established expectations at normal levels

2 Needs Some Improvement: Achieved established expectations below normal levels

1 Substandard: Insufficiently achieved established expectations

Supervisor initial rating: \_\_\_\_\_\_ Explain supervisor’s reasons for initial rating:

Employee initial rating: \_\_\_\_\_\_ Explain employee’s reasons for initial rating:

Supervisor final rating: \_\_\_\_\_\_ Explain supervisor’s reasons for final rating:

**TOTAL POINTS: \_\_\_\_\_\_\_\_ Check Correct Box TOTAL POINTS**

Outstanding performance ❒ 23 - 25

Excellent performance ❒ 19 - 22

Satisfactory performance ❒ 15 - 18

Performance needed improvement ❒ 10 - 14

Insufficient performance ❒ 9 or less

1. Goals and Objectives have been developed and achievement measure established? ❒ Yes
2. Job Duties and Performance Expectations have been discussed with employee? ❒ Yes
3. Improvement actions for each “1” rating has been discussed with employee? ❒ Yes ❒ NA

**Supervisor's Comments:** (Summary of employees overall performance.)

**Employee's Comments:** (Employees are encouraged to provide comments.)

***By signing below, I acknowledge that I have participated in the review process and have received a copy of the review.***

1. **(2)**

**Employee's *Signature* Date Supervisor’s *Signature* Date**

**(3) (4)**

**Vice President’s *Signature* Date HR Dept. *Signature* Date**

**Steps of the Annual Performance Review**

1. **Preparation Before the Performance Review**

**In advance the supervisor needs to:**

* Give advance notice of when the review is scheduled. Let employees know what to expect.
* Instruct the employee to conduct a self-review using a copy of the Performance Review Form, and to be ready to discuss the reasons supporting the ratings of his/her work performance. Ask employee if they have questions about how to conduct a self-review.
* Arrange a neutral + quiet location: avoid “your” territory (office). Allow adequate time: 1 - 2 hours.

**Pre-Review and Pre-Rating**

* 1. Employee self-reviews and self-rates their annual performance in terms of both the previously set Goals and Objectives and the Key Elements (Competencies). Explanatory comments are strongly encouraged in order to facilitate quality discussion.
  2. Supervisor pre-reviews and pre-rates the employee’s annual performance in terms of both the previously set Goals and Objectives and the Key Elements (Competencies). Explanatory comments are required.
* The performance review is to cover an employee’s performance over the entire review period – usually a one year period. Concentrating the review and rating on only a portion of the review period (for example, only the most recent two months) is inappropriate.
* Ratings are to accurately reflect performance over the entire review period. Ratings are not intended to reflect the strongest or weakest point of performance that occurred during the review period.

1. **Meet to conduct the review. Together both supervisor and employee:**
   1. Share their initial ratings of the previously set Goals and Objectives, discuss the employee’s performance in adequate detail, and strive to agree on each rating in light of the discussion.
   2. Share their initial ratings of the Key Elements (Competencies), discuss the employee’s performance in adequate detail, and strive to agree on a final rating for each Key Element in light of the discussion.
2. **Supervisor determines the final rating for each Key Element, documents the reasons for each final Key Element rating, and indicates the Total Rating.**
3. **Supervisor and employee add final summary comments.**
4. **The entire review document and any supporting documentation is sent to the HR Department.**

**EOU Values**

Employees at EOU are expected to embrace and consistently exhibit the University’s Values and Principles. These Values and Principles should be evident in each employee’s work behavior.

**Altruism**

We give selflessly to empower one another and the University community through inclusiveness, appreciation, and stewardship.

**Civility**

We believe in the free and open exchange of ideas, embrace diverse backgrounds, and deliberately seek multiple perspectives.

**Discovery**

We honor our heritage and invest in our future with innovation, vision, and creativity.

**Integrity**

We uphold the foundation of professionalism, honesty, respect, and sincerity in all of our interactions.

**Interdependence**

We cultivate vibrant connections and relationships to enhance opportunity and success locally and globally.

**Quality**

We passionately pursue intellectual engagement, academic rigor, and the highest standards in all endeavors.

**Performance Rating Definitions and Guidelines**

**1 = Substandard: Did not sufficiently achieve established expectations.**

* Did not meet overall expectations of a professional in the position.
* Did not accomplish many individual Goals/Objectives nor demonstrate many EOU Values and Principles.
* Made little or no contribution to the department/college.
* Must significantly improve in many areas to retain current position or employment.

**Guidelines:** Few AP employees at the University should be receiving this rating. Supervisor should have already begun corrective action because the incumbent’s employment is in jeopardy.

**2 = Needs Some Improvement: Achieved most established expectations but at below normal levels.**

* Did not meet an adequate number of expectations and/or performed at below normal quality levels.
* Inadequately accomplished Goals/Objectives or inadequately demonstrated EOU Values and Principles.
* Overall, made substandard contributions to the department/college.
* Must improve in order to perform effectively in current position.

**Guidelines:** Some employees at the University are likely to receive this rating. Supervisor should consider corrective action if performance has begun to jeopardize the incumbent’s employment.

**3 = Satisfactory: Achieved established expectations at normal levels.**

* Correct rating to use for performance that is neither deficient nor meritorious.
* Met expectations adequately and exhibited normal acceptable levels of quality.
* Accomplished Goals/Objectives adequately and regularly demonstrated most EOU Values and Principles.
* Overall, made an acceptable level of contributions to the department/college.
* Rating may be given to new employees who are performing well but still learning their role.

**Guidelines:** A majority of employees at the University are likely to receive this rating. Although not required, supervisor may work with incumbent to outline opportunities to perform at higher levels.

**4 = Excellent: Frequently exceeded established expectations.**

* Met all *and* exceeded many expectations as well.
* Adequately accomplished most individual Goals/Objectives *and* consistently demonstrated EOU Values and Principles in above average manners.
* Overall, made more *and* higher quality than expected contributions to the department/college.
* Was appropriately challenged in current position in terms of learning and applying new and improved capabilities.
* This rating may also be given to new employees who are performing very well but still learning their role.

**Guidelines:** Many employees at the University should receive this rating. Supervisor should assist to identify ways to sustain or further improve incumbent’s performance.

**5 = Outstanding: Consistently exceeded established expectations.**

* Met all *and* exceeded the majority of expectations.
* Consistently exceeded established individual Goals/Objectives *and* demonstrated EOU Values and Principles in remarkable and exemplary manners.
* Made substantial contributions to the department/college/University — far beyond what was planned.
* May be ready for a more challenging position or additional responsibility in current position.

**Guidelines:** This rating should be reserved for truly outstanding performance throughout the review period. Few employees of the University are likely to receive this rating; it is reserved for those whose contributions added value beyond the scope of their current role. This individual is a leader, innovator and influencer, and is widely recognized as a role model to whom others look as a standard of merit. In order to receive this rating, the incumbent must have had at least one or more breakaway contributions that showcase performance. Examples of the employee’s performance must accompany this rating. Supervisor should help the staff member explore new challenges and increased visibility in their role.

**Employee and Supervisor Tips for High-Quality Performance Reviews**

**The Review Relationship**

Performance reviews are extremely important events for the University and each of its employees. There are many dynamics that influence the “what and how” of every employee’s contributions to the University. The professional relationship of the supervisor and employee – specifically, the mutual trust, openness and confidence shared between them – is often considered to be the most influential element in conducting a high-quality performance review.

Fundamentally, most employees really do want to know:

* What am I supposed to being doing?
* Am I doing it right?

***Qualities for conducting a high-quality performance review:***

1. Supervisor and employee are knowledgeable: (a) about the employee’s position responsibilities; and (b) about the actual quality and quantity of employee’s work during the review period.

Should a supervisor be personally unfamiliar with the employee’s work in a given area, then they simply should not review that area unless adequate research is done and documentation is obtained from others who are familiar with the employee’s work.

1. Relational: congruent with EOU Values and Principles, the supervisor and employee should sincerely care about each other at work and be able to manage normal occasions of disagreement.

Should adequate openness be insufficient, in order to achieve a functional degree of openness in the review, the review is to proceed with considerable sensitivity to each person’s situation.

**DO and DON’T TIPS**

DO:

* Employ active listening techniques and skills.
* Be open to feedback – in other words, listen carefully, then ask questions for clarification and find agreement about how improvements can be accomplished. Ask about the reasons and facts that the other person relied on when coming to their conclusions.
* Use effective non-verbal communication during performance reviews. For example, make appropriate eye contact, look at the person you’re talking with, and don’t cross your arms or roll your eyes should you disagree with something. Rather, remain positive and open to listening.
* Have a clear understanding and measures of the identified goals and objectives for the upcoming year.
* Communicate and agree on professional development needs and goals.
* Review job expectations every three to four months to determine if adjustments need to be made.
* Maintain a running summary of accomplishments and goal achievements.

DON’T:

* Wait until the end of the year to bring things up anything that could be a “surprise”.
* Direct or take things personally. Try to not overreact or become defensive – try really hard to listen to what is being communicated even if you don’t agree or understand it.
* Blame each other or others for poor performance. Instead, identify what reasonable steps can be taken to avoid poor performance repeats.
* Be unreasonably critical; feedback is fine - but making sure that you are heard does not mean the other person has to know everything you think or feel about them.
* Complain – without giving examples and having good, thoughtful possibilities for improvement.
* Make excuses or argue – without strong examples to support your view.

**Supervisor Tips for Conducting High-Quality Performance Reviews**

Rating Performance: High quality written goals and objectives => high quality reviews!

* Score ratings on actual achievement of goals and objectives.
* Rate performance not personality. Avoid using factors not permitted in employment matters (race, gender, creed, color, sex, etc.).
* Be fair and consistent.
* Rate one section at a time.

The value to supervisors of employee self-reviews:

* Discover what is important to employees
* View an employee’s work and challenges from their perspective
* Learn new ideas
* Learn areas of interest (achievement)
* Learn areas for improvement
* Allow employees time to focus on successes

Note the common barriers to effective, high-quality performance reviews:

* + Judging personality type instead of behaviors.
  + Perception of Perfect Employee
  + First impression vs. thoughtful reflection on actual performance
  + Recalling only recent events
  + Avoiding underperforming areas
  + Judging factors unrelated to objectives
  + Misunderstanding how to assign ratings
  + Using a performance reviews as a disciplinary meeting

Facilitating agreement during review discussions:

* “Legitimize” (accept) objections and concerns
* Address anger + other strong emotions occurring during review
* Remain positive and calm
* Address inconsistent performance
* Focus on performance measures of goals and objectives
* When resistance is detected, ask the question: “Are we understanding the goals similarly?”

**Essentials of Setting High-Quality Goals and Objectives**

Objectives are established for several important reasons:

(1) To align efforts of employee with the department/college;

(2) To gain understanding and agreement on annual priorities;

(3) To define how employee will grow and improve professional capabilities.

Some supervisors will ask the employee to create their own objectives. Others will suggest objectives. What’s most important is that both the employee and supervisor discuss the objectives and become jointly responsible for achieving them.

**Setting Goals and Objectives**

1. Well written goals and objectives = higher quality reviews: clear, specific, and realistic.
2. Avoid over-focus on current projects.
3. Goals and Objectives should reflect the fundamental priorities, roles, and responsibilities of position:
   * Volume and quality of work
   * Technical knowledge and skills
   * “Customer” skills
   * Teamwork and collaboration skills
4. It is vital to gain agreement on the Measures of Goal Evaluation (achievement/success).

**Objectives should:**

* Reflect the employee’s job responsibilities – both recurrent and annual accountabilities.
* Focus more on what than how – specifically – what outcomes the employee will achieve and what objective indicator(s) will be used to precisely measure achievement.  Information describing how outcomes are to be accomplished is better suited for task lists, project plans, and other planning resources/ documents.

**How many objectives? Most employees should have:**

* Two to three development objectives.
* Three to six performance objectives;

If you have trouble keeping to six or fewer performance objectives, look for a common purpose among some of the objectives and try to consolidate them. Look for objectives that may not have the same level of impact as the others and eliminate them.

**EOU uses the proven S.M.A.R.T. framework as the framework for setting objectives.**

S = Specific  
M = Measurable  
A = Achievable (and challenging)  
R = Results-focused  
T = Time-bound

###### Formulating a SMART Goal

What is SMART? SMART goals make for smart organizations! Sometimes supervisors and managers may neglect to set goals together with their direct reports. Moreover, the ones that do, their goals can often be ambiguous, unrealistic, immeasurable, and de-motivating. By developing SMART goals, a person can avoid these traps while ensuring the progress of the University and its employees.

SMART is an acronym for the five characteristics of well-designed goals.

* Specific - Goals must be clear and unambiguous; vagueness and general statements have no place in goal setting. When goals are specific, employees and supervisors understand exactly what is expected, when, and how much. Because the goals are specific, measuring success becomes possible.
* Measurable – When the measure of goal’s success is not properly indicated, then success is a mystery – i.e. only in the mind of the supervisor. Not only that, it's tough for employees to stay motivated to complete their goals when they have no milestones to indicate their progress.
* Achievable/Attractive - Goals must be made attainable by average employees. The best goals require employees to stretch a bit to achieve them, but they aren't extreme. That is, the goals are neither out of reach nor below standard performance. Goals that are set too high or too low become meaningless, and employees naturally come to ignore them – or worse, despise them. Each goal has to be within reach and attractive enough to want to accomplish it or it won’t be achieved.
* Relevant/Realistic - Goals must be tied to both the University’s vision and mission and the respective department/college annual operating plan.
* Time-bound - Goals must have starting points, ending points, and fixed durations. Commitment to deadlines helps employees to focus their efforts on completion of the goal on or before the due date. Goals without deadlines tend to be overtaken by the day-to-day crises that invariably arise is a person’s work. Putting time frames on goals helps to create a sense of accountability and sets the proper sense of priority and urgency.