

Performance Review Guidelines for Self-Appraisal

Self-Appraisals offer numerous benefits to the appraisal process including greater perceived accuracy, fairness and improved understanding of the demands and expectations of the organization. We recommend that the Self-Appraisal be completed and submitted to your manager approximately 2 weeks prior to your Performance Appraisal discussion.

The Performance Review Form provides periodic written review of individual performance, in the context of the ongoing performance management process. It is designed to facilitate constructive discussion between the employee and manager in order to clarify performance objectives, provide feedback about the employee's performance with respect to skills and behaviors, provide a framework for identifying the employee's development plans, and serve as a basis for merit increase decisions. Managers and employees are responsible for completing a yearly performance review as part of ongoing performance discussions. Preparation for the performance review discussion should begin with the employee completing a self-appraisal.

The Human Resources Department is available to answer questions and to provide assistance to managers and staff members on any aspect of the performance management process, including the performance review form.

I Major Areas of Responsibility (This is *what* you do)

This section of the Performance Review form is used to record the three or four major activities or goals that you are responsible for in your job as well as the evaluation criteria for these. The major activities typically reflect duties described in the job description and/or performance goals. Evaluation criteria encompass such standards as impact, timeliness, cost effectiveness, client satisfaction, accuracy, consistency, etc. During the review period, the manager and staff member are encouraged to review progress in meeting identified goals or activities, and the manager may decide to revise, add, or delete any of these in order to best meet changing organizational needs.

II Performance Competencies—Skills and Behaviors (This is *how* you do it)

At the beginning of the review period, the manager and employee are responsible for reaching a shared understanding of the key skills and behaviors as they relate to the individual's job description and have been established by the manager. While the employee will be evaluating him or herself regarding the key skills and behaviors, the manager is ultimately responsible for assessing the staff member's performance against the agreed upon performance expectations and reviewing the assessment with the individual. Performance that does not meet expectations should be addressed in the Development Plan section of the Performance Review.

III Overall Assessment

The manager completes a brief summary of the employee's overall performance. (Employee does not complete this section.)

IV Development Plan

There are four kinds of Development Plans:

1) Development to close performance gaps: the manager, in conjunction with the staff member, should identify development plans for any goals, skills or behaviors which are assessed at the “Needs Improvement” performance level.

Development plans which address performance at the “Needs Improvement” performance level should be reviewed and discussed through ongoing performance discussions.

2) Development to enhance job skills and performance: plans identified by a manager with the individual to provide opportunities for a staff member to enhance job-related skills and performance.

3) Development for career advancement: plans identified by the manager and individual to enhance the promotability of a staff member.

4) Development for career exploration: staff members may initiate a development plan to provide opportunities for career exploration through cross-training or mentoring activities.

V Performance Goals and Expectations

This section is used to begin the performance management process for the next review period. Goals typically reflect major job activities and may be modified throughout the year based upon changing organizational needs.

Employee Self-Appraisal

Name _____ Date of Review _____

Job Title _____ Department _____

Date Appointed to this Position _____ Review Period _____

Manager's Name and Title _____

Section I—Major Areas of Responsibility

Major Areas of Responsibility/Goals— These typically relate to the major activities that you perform on your job and/or the goals that have been established by your manager and discussed with you. This is also an opportunity to describe noteworthy accomplishments.

Primary Performance Expectations: Responsibilities/Goals	Notes/Comments on Achievements & Areas for Improvement

Section II—Performance Competencies (Skills and behaviors)

These skills and behaviors have been identified as important for most employees. Other skills and behaviors may be added if needed. Please review and consider how you have demonstrated these in your job and how you might improve on these going forward.

Competency Area	Notes/Comments on Competency Areas and Suggestions for Improvement
Taking Responsibility: Completes assignments in a thorough, accurate, and timely manner that achieves expected outcomes; exhibits concern for the goals and needs of the department and others that depend on services or work products; handles multiple responsibilities in an effective manner; uses work time productively.	
Customer Focus: Is dedicated to meeting the expectations and requirements of internal and external customers; acts with customers in mind; establishes and maintains effective relationships with customers and gains their trust and respect; goes above and beyond to anticipate customer needs and respond accordingly.	
Problem Solving/Creativity: Identifies and analyzes problems; formulates alternative solutions; takes or recommends appropriate actions; follows up to ensure problems are resolved.	
Collaboration/Teamwork: Uses diplomacy and tact to maintain harmonious and effective work relationships with co-workers and constituents; adapts to changing priorities and demands; shares information and resources with others to promote positive and collaborative work relationships; supports diversity initiatives by demonstrating respect for all individuals.	
Communication/Interpersonal Skills: Is able to effectively communicate and to influence others in order to meet organizational goals; shares information openly; relates well to all kinds of people; is able to speak well and write effectively.	

Section III—Growth and Development Plan

Employee: Describe two or three of your top strengths and one or two growth/development opportunities. Provide this to your manager for discussion and review.

Strengths:	
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Growth/Development Opportunities:	
What will you (employee) do? (This can be as simple as reading a book, serving on a team, observing someone who does it well, asking for feedback on a behavior that you're trying to change, etc.)	
What can the manager do to support this?	

Section IV—Performance Goals & Expectations (for next review period)

Name: _____ Review Period Start Date: _____

Job Title: _____ Manager's Name: _____

Goals for Next Review Period—Identify three to five goals to be accomplished during the next review period by thinking of the major activities related to your job. At the end of the review period, rate how well these goals were achieved. Keep in mind that during the review period, goals and evaluation criteria may be revised, added, or deleted in order to best meet changing organizational needs. This form should be helpful in completing next year's performance review.

SMART Goal (Specific, Measurable, Attainable, Realistic, Timely)	How we know it was achieved

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Appendix: Knowledge, Skills and Abilities for Business and Financial Managers

The following skills that are applicable can be incorporated into the Major Areas of Responsibility Section 1 and/or the Performance Competencies Section 2.

Competencies/Skills	Notes/Comments on Competency Areas and Suggestions for Improvement (optional but strongly encouraged)
Financial Acumen: Demonstrates knowledge of and effectively implements GAAP; demonstrates knowledge of and effectively implements internal finance/accounting policies and procedures; meets university deadlines.	
Business Knowledge: Demonstrates through accuracy; understands the department's mission; plans for short term goals as well as longer term financial planning; understands the roles of central staff and supports company needs for financial reporting; contributes to university work groups to develop and enhance business practices and policies.	
HR, Payroll, Oracle, SIS systems: Ability to understand and integrate related program or process changes into the unit; reviews & assesses programs for effectiveness.	
Managing and measuring work: Clearly assigns responsibility for tasks and decisions; sets clear objectives and measures; monitors process, progress and results; provides feedback (both up and down).	
Hiring and Staffing: Is a good judge of talent; recruits & hires the best people available from inside or outside the organization; is not afraid of selecting strong people; assembles and orients talented staffs.	
Delegating: Comfortably and effectively delegates both routine and important tasks and decisions; broadly shares both responsibility and accountability; tends to trust people to perform; lets direct reports finish their own work.	
Fostering Diversity and Inclusiveness: Manages a diverse group of people equitably; hires variety and diversity without regard to class; supports equal and fair treatment and opportunity for all.	
Developing Self: Shows evidence of personal development (e.g. software skills enhancement, financial training); completes specialized training as appropriate (e.g. research, compliance, etc.); identifies ways to improve efficiency and accuracy.	
Developing Others: Provides challenging tasks and assignments; holds frequent development discussions, completes performance reviews, etc; is aware of each direct report's career goals; constructs compelling development plans and executes them;	

pushes direct reports to accept developmental moves; provides mentoring; is a people builder.	
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