

<p style="text-align: center;"><b>Q&amp;A on Performance Appraisal process from SAC and The Forum (November 1, 2005 Brown Bag session)</b></p>
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**1. How does the process work (a broad overview in general and at Carleton)?**

Annual; (exempt, non-exempt and union staff); monitored by Div Head Assist and HR.  
Actual HR Process follows:

***Process for Performance Appraisals (P.A.)  
Goal: 100% Completion Rate***

- *HR will distribute all forms and material via email to each division head's assistant by the end of January with a requested completion date of April 15<sup>th</sup>.*
  - *The E-mail will contain these attachments: cover letter for each supervisor, an exempt P.A. form, and a non-exempt P.A. form.*
  - *In a separate e-mail HR will send each division head this process and a chart of their division staff and supervisors for their reference (please update HR on any changes).*
  - *Each division head assistant will forward all the attachments to each supervisor.*
  - *HR will electronically forward the Employee Notification form to each employee.*
- *The supervisor will have the choice of either printing the form and completing it manually or completing the form electronically. In either case, a hard copy must be made.*
- *The supervisor will return, confidentially, the completed/signed forms to HR through campus mail. HR will notify the division head assistant of all forms received. HR will file the forms in the employee's Personnel File.*
- *HR and the division head assistant will be available to assist with any questions/issues and encourage the supervisors to achieve a goal of 100% completed Performance Appraisals.*
- *HR will track which forms have been returned. HR will give the division head assistant periodic update of the Performance Appraisals that have not been completed by the predetermined date.*

*(developed 01/16/03 - KJ)*

**2. Is the process the same for all employees of the college?**

Forms vary by employee classification and the suggested method may vary slightly – written format and an interview is the standard.

**If not, what are the differences?**

Supervisors may individualize their approach based on their own experiences, skills, the message to convey and customized to the employee.

### **3. How is the performance review information used?**

### **4. How do they relate to salary?**

### **5. How do we get supervisors to do them?**

**These questions were addressed by HR May 2005. Having answered it already, what other questions still remain on this topic??**

The following are the responses to the above questions that were distributed on May 11, 2005 to non-exempt staff and their supervisors and on May 25, 2005 to all the rest of the exempt staff.

### **3. How is the performance review information used?**

The annual Performance Appraisal is a two way (staff and supervisor) communication tool. It takes a verbal and written form and is entirely work focused. It allows both the supervisor and the staff to reflect on past and future goals and to discuss professional development activities needed or desired.

### **4. How do they relate to salary?**

In addition to providing the opportunity for staff and supervisor feedback, the Staff Handbook goes on to outline the following as it might relate to salary increases: *The College's annual budget typically allows for standard salary increases and some additional amounts to be used for staff that need a market adjustment or for limited merit increases. Each year supervisors are provided with guidelines for salary increases and with salary history information for each staff member. The guidelines establish a standard increase to be given for satisfactory performance. A supervisor's salary recommendation to the division head will be influenced by such factors as the guidelines mentioned above, an individual's performance, salary history progression and the performance and status of others in the department. On rare occasions, salary increases may be given for reasons other than standard or merit, and are subject to special review and approval.*

*Supervisors are responsible for reviewing an individual's performance as part of the salary recommendation. Typically, the most recent annual performance evaluation provides a basis for the review. The performance evaluation assesses a staff member's strengths and weaknesses and how well the job is being performed. When determining the merit portion of a salary recommendation, supervisors consider such factors as the individual's knowledge, judgment displayed, quality and quantity of work produced, imagination used in its production, use of cooperation and enthusiasm in providing services and special contributions.*

### **5. How do we get supervisors to do them?**

The College and HR strongly endorse and monitor the practice of providing each staff with an annual Performance Appraisal. HR gives each division head assistant periodic updates on the number of Performance Appraisals that have been completed within that division and how many still need to be completed. The division head assistants' are encouraged to help HR attain the College's goal of 100% completion for each year. This information is available to each division head who may use this information when evaluating the performance of an individual supervisor. Individuals should seek HR support if their performance has not been consistently reviewed.

**Additional questions/comments/suggestions brought up at the brown-bag session and asked on the coupons provided for the session:**

**Questions:**

**What do you do if you're not getting a performance review?**

HR strongly suggests that the staff talk to their supervisor about their desire to have this type of discussion, letting them know how they are doing and what the future work goals are. HR will assist the staff member in offering suggestions on how to approach their supervisor about this. HR can also discuss this with the supervisor if the staff member requests it.

**Who is my "division head"?**

A Division Head is defined as an upper level executive who is part of the College's Administrative Council and reports directly to the President.

**Could HR target those who haven't had reviews in several years and talk to their division head?**

HR sends out updates to division heads on who has and who has not submitted Performance Appraisals. The role of HR is to supply the supervisor and staff with the necessary tools to do a Performance Appraisal, to act as a coach when needed and to record/file the information; rather than enforce compliance.

**Do supervisors have training on the issue of Performance Appraisals, both because they may be new to this and because they are difficult and uncomfortable to do? Can we make this training mandatory for supervisors and have supervisors accountable to get these done?**

Training is and will continue to be offered on communication, conflict resolution, and performance management; just to name a few related topics. These are available to both supervisors and staff. The HR Library contains written and visual material on preparing, giving and receiving performance appraisals. HR staff are also available to give guidance. Future training on preparing/giving/receiving performance appraisals is being considered.

As mandatory training is not a part of Carleton's culture, making it mandatory does little to ensure effectiveness; rather, efforts to communicate the program benefits will be enhanced.

**The salary increase suggestions by supervisors are made before the Performance Appraisals are due, why is that? There needs to be a clearer link between performance appraisals and salary increases.**

Carleton does not directly link performance appraisals to the salary increase program. HR sends the performance appraisal forms out to supervisors and staff in January with a goal to have them back by April 15. Each department has cyclical times of the year when the demands of their time are greater than others, due to this HR is flexible in accepting the completed appraisals whenever it is most appropriate for the department to do them.

**Comments:**

**It appears that supervisors can only use salary as a form of punishment rather than a reward.**

Discussions at the Brown Bag session was focused on performance appraisal as a tool rather than its application to the salary increase process. Essentially performance appraisals are designed as a communication tool whose results are not primarily linked to salary increase outcomes. Supervisor's when making salary recommendations are encouraged to withhold, limit or delay a salary increase for those who are striving to better meet performance objectives. That way an individual is not recognized in the same way as other staff in the recommendations process. Rather than seen as a "punishment", such action is meant to bring the improvement in performance needed and to maintain the stability of other's increases – particularly with the limited increase resources available for allocation. This comment came after a discussion regarding the salary increases and merit pay. With our Salary pool being at 3% the past few years it is difficult to make the merit portion of the salary increase of any significance. When the salary pool is much higher the merit portion of the salary pool makes a larger impact in salaries.

**I'm not hearing that much value is placed on performance appraisals. Every supervisor should be required to do the appraisals, it is such a wonderful opportunity for supervisors to communicate with the staff.**

**Some staff feel that Performance Appraisals need to be done for everybody to have any meaning or validity, perhaps HR could report to the President those supervisors who haven't done their reviews.**

**Maybe there needs to be an incentive for supervisors to do reviews. While the goal is 100% Completion Rate, there doesn't seem to be any consequences (visible to the staff anyway) for supervisors who don't do reviews. Perhaps a contest or some other form of incentive could be developed to encourage participation.**

**Comments submitted by some supervisors present at the Brown Bag session:**

**If the directive to get all of the Performance Appraisal done on their list came from their division head rather than from HR, it would have a greater impact on them making this a priority.**

**In their area, supervisors do not get to receive their Performance Appraisal by their division head until all the staff on their list are completed.**

**I find it difficult to continuously answer the same questions year after year. Especially when there has been no change in the staff's performance. Please give some thought into periodically changing the format to prompt different discussions with the staff.**

**Hinge supervisor's increase on submitting their assigned performance appraisals.**

**Advertise completion rates of the performance appraisals by the division or department.**

*Karyn and Bonnie-Jean both encouraged everyone to give them their ideas or suggestions on the coupon supplied to improve the system already in place. They will gladly accept questions, suggestions and comments. You can e-mail them at [hr@acs.carleton.edu](mailto:hr@acs.carleton.edu).*