

*PEP Update
for Supervisors*

PEP

- **P**erformance **E**nhancement **P**rogram
- Not an annual event
- A year-round process of feedback & communication between a supervisor & employee
- The annual component is performance review & goal setting



FAQs



Why do PEPs at all?

- Employees want, need & deserve feedback
- Supervisors need documentation of performance
- The university needs all employees working toward goals which align to the strategic plan



Are salary increases tied to PEPs?

NO – The primary purpose of the PEP is communication between supervisor & employee

–Supervisors can move new employees to top of recruiting range after 3-6 mos. if funds are available

–In the past there have been across-the-board salary increases, as the budget permits



Are PEPs required on all employees?

YES – All *staff* employees

–Faculty members have a different process of evaluation



Are PEPs required on new employees?

YES - If hired on or before Apr. 1

–You should establish one- and three-month “learning” goals during new employee orientation

–These can serve as a basis for evaluation even if the employee is fairly new



Is a PEP required if an employee has left the university?

YES - If the employee left on or after Apr. 1

-It's often a good idea to submit a PEP, even if the employee left *before* Apr. 1, for documentation or employment reference



Must I do a PEP if I didn't supervise the employee until very recently?

YES - If you are the supervisor of record on Apr. 1

-Evaluate as much as you can from your own experience, and get information from previous supervisor, if possible
-Look at last year's PEP for information on previous goals and past performance



Must I submit a PEP on an employee who is now supervised by someone else?

YES – If you were supervisor on Apr. 1

NO – If you were not; *however*

-If you supervised the employee at any point during the evaluation period, give the new supervisor evaluation information on the employee, to be included in the PEP s/he submits.



Hint:

If your supervision of an employee ends during the middle of an evaluation period, prepare a PEP up to that point and submit to HR (& the new supervisor, if applicable.)



Will the university have “pay for performance” in the future?

We don't know



What we do know:

- There has been some discussion about:
 - Documentation of “Successful” performance for across-the-board increases
 - Completed PEPs submitted prior to across-the-board increase
- It's hard to give honest, corrective feedback with no money on the line.
- It's even harder when corrective feedback is tied to salary



Lilly Ledbetter Fair Pay Act

- New federal legislation
- Requires detailed documentation to support differential pay adjustments
- More documentation than on PEP
- “Pay for Performance” would require supervisors to provide much more specific, timely documentation than ever before



2008-09 PEP Timeline



- March 1 - Draft PEP list from HR*
- April 1 - Final PEP list from HR
- June 30 – PEPs are due in HR
- Evaluation Period -
 - Begins day after last PEP was signed (or employee was hired)
 - Ends day you & employee sign current PEP
 - Roughly July 1 – June 30

* *Should already have it*



Hint:

- Start planning now!
- It takes time to do PEPs – especially if you supervise more than one employee
- Use PEP Timeline Worksheet [See handout]



The PEP Process



- Employee completes:
 - *Annual Report of Activities*, including suggested self-goals
 - Allow at least one week
 - Review carefully
- Supervisor completes:
 - *Evaluation of Last Year's Goals*
 - *Goals for Next Year*
 - Consider employee's suggestions, departmental goals, and university strategic priorities
 - *Operating Principles in Action*
 - *Supervisor's Comments*



- Review draft PEP with your supervisor and make any adjustments
- Conduct PEP meeting with employee
- Employee completes *Employee Comments*
 - Optional
 - Allow up to one week
- Employee & supervisor sign PEP
- Send completed, signed PEP to your supervisor for review and signature
- Submit completed PEP (including ARA & 3 signatures) to HR by **June 30**.



Completing the PEP Forms



- Employee Information Section
 - Fill out completely (Evaluation Period, ID #, Job Title, etc.)
 - Make your signature legible (or print your name below it)
- Evaluation of Last Year's Goals
 - Write *something*, even if there were no goals last year
 - It's okay to cite employee's ARA -- if you agree with it



- Goals for Next Year
 - Not too many (4-6)
 - Not too general or too specific
 - S.M.A.R.T.
 - S**pecific
 - M**easurable
 - A**ttainable
 - R**elevant
 - T**imely

*Note: Training is not a goal!



- Operating Principles in Action
 - Reflect SEU operating principles
 - Behaviors listed are only a few examples
 - You must choose one rating:
 - Insufficient Information
 - Needs Improvement
 - Successful
 - Approaches Ideal



What the Ratings Mean



Insufficient Information

- The employee is so new to your supervision (a few weeks) or is so new to the task/responsibility that you are not able to form any opinion of his/her performance in this area



Needs Improvement

- Employee must demonstrate improved performance in this area in order to be successful
- Appropriate for new employees, or employees with new responsibilities
- A "Needs Improvement" rating in the same area for more than one PEP cycle is cause for concern and possibly disciplinary action



Successful

- Employee is doing just fine in this area
- Successful is good!
- Successful does *not* mean "just average" or a "C" grade
- Most employees are "Successful" in most areas, most of the time



Approaches Ideal

- Employee had the *opportunity* to demonstrate extraordinarily outstanding performance in this area, this year
- Not an evaluation of the *employee*, but of *performance*
- It is not usually possible for an employee to “approach ideal” in all areas every year



Documentation

- Any rating other than “Successful” requires a written explanation
 - Cite at least one specific, behavioral example that illustrates the reason for an “Approaches Ideal” or “Needs Improvement” rating
 - Cite the reason for any “Insufficient Information” ratings
 - Ratings that do not contain a specific, behavioral explanation (e.g., “Gives 100% all the time”) will be returned for completion




Why is an explanation necessary?


- So the employee will know specifically what to continue doing – or stop doing – to remain or become successful
- As a self-check that you are evaluating employees consistently
- To provide documentation for any future disciplinary action or possibly salary adjustments




The PEP Meeting



- Choose a good time and place
- Allow plenty of time
- Give the employee time to review the PEP
- Make it a dialogue, not a one-way conversation
- Don't be afraid of emotional reactions
- Make it developmental, not punitive
- Leave the employee with one clear message about their performance
- Express confidence in the employee



PEP Tips



- Explain your rating system ahead of time
- Pay attention to the employee's *Annual Report of Activities*
- Be honest
- Be specific
- Be consistent
- Rate over the entire year
- No surprises!
- Remember the EAP



Employee Assistance Program

Alliance Work Partners
800-343-3822
<http://www.alliancewp.com>



PEP Forms & Information



- PEP Forms online at:
<http://stedwards.edu/hr/content/employee-forms>

- Available in HR:
 - Manuals
 - *PEP for Employees*
 - *PEP for Supervisors*
 - *Coaching, Counseling, Disciplining*



- Also available in HR:
 - Books
 - *The Manager's Toolkit*
 - *1001 Ways to Energize Employees*
 - *LifeScripts*
 - Videos
 - *Seven Danger Zones – Evaluation*
 - *The Arts of Criticism...Giving & Taking*
 - *A Positive Approach to Discipline*
 - *Avoiding Common Discipline Mistakes*
 - *The Unified Team*
 - *The Practical Coach*



- Available at the Scarbrough-Phillips Library:
 - Recommended DVDs
 - *Painless Performance Improvement*
 - *The Leadership Pickles*
 - *Keeping the Good Ones*



2009 PEP Forms
For
Supervisors

PEP TIMELINE WORKSHEET FOR SUPERVISORS

To Be Completed

No Later Than

- | | |
|--|---------|
| <input type="checkbox"/> Give employee <i>Annual Report of Activities</i> to complete | May 1 |
| <input type="checkbox"/> Collect <i>Annual Report of Activities</i> from employee | _____ |
| <input type="checkbox"/> Review <i>Annual Report of Activities</i> | _____ |
| <input type="checkbox"/> Complete first draft of <i>Parts I and II</i> of the <i>Goals & Evaluation Form</i> | _____ |
| <input type="checkbox"/> Review <i>Parts I and II</i> with <u>your</u> supervisor | _____ |
| <input type="checkbox"/> Conduct Performance Review & Agreement meeting with employee | _____ |
| <input type="checkbox"/> Return signed <i>Parts I, II and III</i> of <i>Goals & Evaluation Form</i> to your Supervisor for review and signature | _____ |
| <input type="checkbox"/> Turn in <i>Parts I, II and III</i> of <i>Goals & Evaluation Form</i> (including <i>Goals & Evaluation Form</i> and all three signatures) to Human Resources | June 30 |

The appropriate administrative officer will be notified about supervisors who have evaluations outstanding on June 30. The president will receive a list of those supervisors who still have incomplete evaluations as of August 1.

**St. Edward's University
Performance Enhancement Program**

ANNUAL REPORT OF ACTIVITIES

Employee:	Rating Period:
Job Title:	Department:

This is a report of your goals and other activities that you wish to call to the attention of your supervisor prior to your performance appraisal. You may write on this form, use the template available from the Human Resources Office, or attach other documentation of your responses. Your supervisor should allow you at least one week to complete this form. Completing and returning it to your supervisor by the agreed upon date is your responsibility. If you do not return it within the specified time, your supervisor will complete the evaluation without your input.

1. Aspects of your job you would like to discuss with your supervisor at your performance review:

2. Personal and professional activities that have enhanced your job effectiveness:

3. Goals established by you and your supervisor for the rating period and progress on these goals:

4. Other accomplishments made since your last performance review:

5. Changes that you would like to see in your job or department to increase effectiveness:

6. Goals for the next evaluation cycle:

**St. Edward's University
Performance Enhancement Program**

GOALS & EVALUATION FORM

Evaluation Period _____ through _____
(mo/yr) (mo/yr)

Employee Name _____ Employee ID Number _____

Job Title _____ Department _____

SIGNATURES:

Employee Date Evaluator Date Administrator Date

PART I. GOALS

EVALUATION OF LAST YEAR'S GOALS

Evaluation of Goal(s) Accomplished (Indicate status of goals established this evaluation period.)

PART I. GOALS, continued

ESTABLISHMENT OF NEXT YEAR'S GOALS

Goals for Next Year (Goals established by employee and supervisor for the next evaluation period and/or areas in which job could be enhanced.)

PART II. OPERATING PRINCIPLES IN ACTION

Examples of the kinds of behavior that support each Operating Principle (OP) are provided. Supervisor rates employee on each Operating Principle. If the rating is other than “**Successful**” then supervisor completes a brief paragraph describing the employee’s behavior as it relates to that Operating Principle, providing specific examples. If supervisor has insufficient information to assess, check “**Insufficient Info.**” Please note that each OP is followed by some examples of behaviors supportive of that Principle. These examples are intended to be representational, not complete.

We work through collaboration.

Follows through on assignments in a timely manner
Assists fellow employees
Involves others in shaping plans and decisions that affect them
Addresses issues from a university-wide perspective

Insufficient Info **Needs Improvement** **Successful** **Approaches Ideal**

We treat each other respectfully.

Has attendance and/or punctuality as required by job
Maintains a positive work environment
Develops effective working relationships
Maintains composure, judgment, and civility

Insufficient Info **Needs Improvement** **Successful** **Approaches Ideal**

We are a continually developing organization.

Recommends, develops, and utilizes methods for work improvement
Accepts constructive criticism and modifies actions to achieve practical results
Receives supervision well
Adapts to changes in work environment and learns new information quickly

Insufficient Info **Needs Improvement** **Successful** **Approaches Ideal**

We each take responsibility for excellence.

- Accepts responsibility for own actions
- Champions new initiatives within and beyond the scope of own job
- Performs quality work that is accurate and professional
- Accomplishes quantity of work required for the job

___ **Insufficient Info** ___ **Needs Improvement** ___ **Successful** ___ **Approaches Ideal**

We are dedicated to high standards of service.

- Demonstrates good customer service in actions and words
- Meets or exceeds quality and quantity standards for performance
- Develops creative solutions to problems/work challenges
- Places a higher priority on service than on administrative ease

___ **Insufficient Info** ___ **Needs Improvement** ___ **Successful** ___ **Approaches Ideal**

We have open communication across the university.

- Keeps supervisor and others informed about important, relevant matters
- Asks questions when unsure of assignment or responsibility
- Communicates effectively (verbally and/or in writing) as required by job
- Is able to be assertive when appropriate

___ **Insufficient Info** ___ **Needs Improvement** ___ **Successful** ___ **Approaches Ideal**

We seek to understand and promote diversity.

- Is sensitive to the needs of others and deals fairly with others
- Communicates effectively with people of diverse backgrounds
- Relates to people in an open, friendly, accepting manner
- Interacts appropriately with all members of the university community

___ **Insufficient Info** ___ **Needs Improvement** ___ **Successful** ___ **Approaches Ideal**

We are good stewards of our organizational resources.

Skillfully manages resources (Financial and Time)

Establishes a priority list for resource use consistent with the university's Mission Statement and Strategic Priorities

Supports a university-wide perspective in resource allocation

Skillfully manages human resources (*for supervisors only*)

___ **Insufficient Info**

___ **Needs Improvement**

___ **Successful**

___ **Approaches Ideal**

PART III. PERFORMANCE APPRAISAL COMMENTS

Employee's Comments:

Supervisor's Comments:

PERFORMANCE ENHANCEMENT PROGRAM

St. Edward's University is committed to helping its employees be successful in their jobs. The Performance Enhancement Program (PEP) is part of that commitment and includes ongoing, year-round communication between employees and their supervisors, as well as yearly performance appraisals. In those annual appraisals, both the employee and supervisor have responsibilities, as outlined below.

Supervisor's Responsibilities

- Inform/educate employees about the Performance Enhancement Program. Encourage/allow employees to attend PEP training when offered.
- Provide employees with a link to or a copy of the Annual Report of Activities.
- Give employees a due date for completion of the Annual Report of Activities that will allow them at least one week for completion.
- Complete Parts I and II of the Goals & Evaluation form, after carefully considering input received from the employee's Annual Report of Activities.
- Discuss proposed evaluation with your supervisor prior to conducting the appraisal interview. Show your supervisor the draft Goals & Evaluation form and the employee's Annual Report of Activities.
- Schedule appraisal interview with the employee.
- Conduct the appraisal interview in a way that allows for and encourages input from the employee.
- Allow the employee up to one week, if necessary, to complete the Employee's Comments section of Part III of the Goals & Evaluation form.
- Complete Supervisor's Comments section of Part III.
- Get required signatures. Be sure your supervisor has an opportunity to review all employee comments prior to signing.
- Submit the signed and completed Goals & Evaluation form (Parts I, II and III) and the Annual Report of Activities to the Office of Human Resources no later than June 30.

Employee's Responsibilities

- Complete the Annual Report of Activities and return it to your supervisor within the allotted time.
- Meet with the supervisor at the scheduled time prepared to discuss relevant issues, keeping an open mind and actively participating in the discussion.
- Prepare written comments about the appraisal and submit those comments to the supervisor within the allotted time. (Optional)
- Sign the Goals & Evaluation form no later than the time the written comments are submitted. (Note: Employee signature indicates only that the Goals & Evaluation form was discussed with the employee. It does not indicate agreement with the supervisor's assessment of performance).

Shared Responsibilities

- *Keep the SEU operating principles in mind.* Not only are employees evaluated based on these principles, but they also characterize how supervisors and employees should treat one another during the appraisal meeting and throughout the year. (To review the operating principles and their meaning, go to <http://www.stedwards.edu/hr/handbook/Introduction/principl.htm>.)
- *Keep an open mind.* Be prepared to listen and hear opinions different from your own.
- *Actively listen to each other.* Pay attention and let each other have an opportunity to speak candidly and without interruption.
- *Actively participate in the Performance Enhancement Program and treat each other respectfully.* Give your opinions honestly and calmly. Do not criticize each other's opinions.
- *Read and refer to the Supervisor's and Employee's PEP Manuals.* PEP manuals can be obtained from the Office of Human Resources.
- *Participate in appraisal training when offered.* Training will be announced in *Horizon*.
- Direct any questions about these instructions or the PEP to the Organizational Development Coordinator, the Associate Director, or the Director of Human Resources.