



Office of Human Resources  
435.797.0216

## **INSTRUCTIONS FOR PERFORMANCE APPRAISALS**

*The Performance Appraisal form is available on the Office of Human Resources website: [www.usu.edu/hr](http://www.usu.edu/hr).  
The sections on the form are constructed to increase as more text is entered if completed electronically.*

The Performance Appraisal program has been designed to assist USU administrators, supervisors, and employees in defining job responsibilities, and establishing standards to assess performance. This is accomplished through formal meetings held at least annually between an employee and his/her immediate supervisor. The major purposes of Performance Appraisals are to help employees and supervisors mutually clarify job expectations, and to assist each employee in developing to his/her fullest potential. The program encourages open communication between supervisors and employees, recognition of outstanding performance, and assistance in the development of training and performance goals.

### **When to Conduct Performance Appraisals**

Formal Performance Appraisals should be conducted at least yearly for non-faculty, benefit-eligible employees. Semiannual or quarterly reviews are recommended to foster better communication between a supervisor and an employee and to assess performance. The Performance Appraisal session for the previous year is to be held during the first quarter of each calendar year. At that time dates may be set for review sessions.

Evaluations should be given throughout the introductory period of employment to give an employee feedback about his/her performance in the new position. The schedule for those evaluations and performance criteria for each position should be established by the supervisor during the first week of employment.

### **Who Evaluates Performance**

The immediate supervisor evaluates each employee's performance. The immediate supervisor is defined as the person who assigns and reviews the employee's work and is responsible for necessary corrective actions.

Employees who have been under the direction of more than one supervisor during the performance review period are to be evaluated by both the previous and current supervisor. The current supervisor, however, has the primary responsibility for completing the form and is encouraged to consult with the previous supervisor(s) to ensure that a fair assessment has been made.

The supervisor's administrator (Dean, Vice President, Department Head, or Director) is required to review the supervisor's assessment. If the reviewer approves the assessment, he/she signs the form and returns it to the supervisor for distribution: the original is sent to the Office of Human Resources for the employee's file, one copy remains in the department, and one copy is given to the employee. If the administrator does not approve the assessment, the form is returned to the supervisor with comments for his/her consideration. If the supervisor modifies the assessment in light of the administrator's comments, he/she discusses the changes with the employee and the employee signs the modified form. The form is sent to the administrator who signs (if in agreement) and sends it back to the supervisor for signature and distribution.

### **General Guidelines**

University administrators and supervisors are responsible for the effective application of the Performance Appraisal process. New administrative and supervisory personnel are encouraged to contact the Office of Human Resources to arrange training sessions to define their role in the Performance Appraisal process or to request further information.

The Performance Appraisal includes five major sections:

- Job Responsibilities as related to the job description  
This list should contain the essential functions/major responsibilities typically associated with the job. Additional responsibilities sections may be added if necessary

List the percentage of time required for each responsibility (these should total 100%)  
The supervisor may comment on the employee's performance of each responsibility

- Education, Knowledge, Skills, and Abilities that are required to perform the job  
List the education/training, knowledge, skills and abilities that are typically associated with the job  
*An example job family template is found at [usu.edu/hr/compensation/exempt/non-exempt/titles-grades](http://usu.edu/hr/compensation/exempt/non-exempt/titles-grades)*
- Working Conditions of the job (ADA compliance)  
This list should contain the physical demands required to perform the job's essential functions  
The employee should be able to perform the tasks with or without accommodation  
*An example of conditions is found at [usu.edu/hr/compensation/ADA](http://usu.edu/hr/compensation/ADA)*
- Employee Development and Training Goals  
List the agreed-upon goals and/or training for the coming year  
State the training source  
State the anticipated date of goal achievement
- Employee comments  
The employee may make comments pertaining to the performance evaluation

The employee and supervisor jointly identify and agree upon the position's essential functions/major responsibilities, and create training and development plans. Although this is a mutual effort, the final decisions regarding these items are the responsibility of supervisors and administrators.

The appraisal process begins with a review of each job responsibility and identifies the percentage of time associated with each responsibility, and then each responsibility is evaluated.

### **Employee Rights/Due Process for the Performance Appraisal Process**

Although the annual performance appraisal process is ideally a collaborative effort between employee and supervisor, the supervisor has the final responsibility for the appraisal.

Employee rights throughout the process include:

- The right to submit as part of the performance appraisal, the employee's account of his/her own performance for the year.
- The right to request that a representative from the Office of Human Resources be present at any meeting to discuss performance for the year.
- The right to appeal. Since performance appraisals are co-signed through a chain of command from employee to supervisor to administrator within each college or administrative unit, employees may appeal the performance appraisal process through the same chain of command.

Employees should contact Mardyne Matthews in the Office of Human Resources with any questions about employee rights and due process at [mardyne.matthews@usu.edu](mailto:mardyne.matthews@usu.edu), or (435) 797-1813.