

KEY CONCEPTS	communication	development	accountability	objectivity
expectations	planning & goals	relevance	documentation	no surprises
ongoing dialogue	feedback	respect	mentoring	legal
PS-42	improvement	365 days/year	inputs	positive process

Laying the Foundation for Performance Appraisal

- DO advise employees of expectations in advance.
- DO provide relevant feedback to employees on an ongoing basis in specific and objective terms.
- DO allow employees to respond to feedback to resolve misunderstandings and as reinforcement.
- DO provide assistance to the employee in completing their portfolio.
- DO point out the positive, not just the negative.
- DO have respect for the employee. Always counsel in private and maintain confidentiality.
- DO document significant accomplishments and problems regularly in a supervisor's file.
- DO discuss the employee's progress toward promotion if applicable.
- DO measure the employee's performance, not their skill in completing the portfolio document.
- DO inform your unit head of significant performance issues.

COMMON RATING ERRORS AND PROBLEMS

<p><i>Inconsistent Appraisal History</i> <i>Vague Descriptions of Problems</i> <i>The Halo Effect</i> <i>Clustering Around the Center</i> <i>Excessive Leniency or Strictness</i> <i>Recent Error or Success</i> <i>Bias or Prejudice</i> <i>Logical Error</i> <i>Lack of Information</i> <i>Anxiety in the Employee</i> <i>Reluctance to Judge</i> <i>Failure to Provide Prompt Feedback</i> <i>Failure to Recognize Positive Work</i></p>	<p>Failure to consistently document recurring problems Failure to provide adequate details or examples Generalizing from a single characteristic or general impression Rating around the middle; avoiding the ends of the scale Giving consistently high or consistently low evaluations Rating on easily remembered behavior – often the most recent Allowing inappropriate criteria to come into play Human error due to misunderstanding/misinformation Having insufficient information about job performance Excessive anxiety which inhibits/prevents discussion/feedback Being too uncomfortable to accurately assess performance Waiting until the annual appraisal to provide feedback Placing too much emphasis on negative performance</p>
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CHECKLIST FOR COMPLETING SUPERVISOR SECTIONS OF PERFORMANCE APPRAISAL FORM

Review supervisory notes to assess performance <u>throughout</u> the rating period.
Focus on objective work data as much as possible.
When discussing strengths and opportunities for improvement, be specific and use examples.
Rate performance, not duties.
Distinguish between levels of performance on different performance aspects.
Compare the individual's performance to the expectations previously established.
Check defined goals and objectives which were discussed at the beginning of the year.
Check the prior appraisal to compare whether performance has improved, declined, or stayed the same. Check to see if prior deficiencies have been corrected.
Avoid vague appraisal statements. If it's important enough to say, it's important enough to say clearly.
Discuss the rating with your regional director if appropriate before discussing with the employee.

TIPS FOR A SUCCESSFUL APPRAISAL MEETING

Before the meeting ...

*Inform the employee in advance of the date and time of the meeting.
Make arrangements to prevent interruptions during the meeting.
Allow sufficient time for the meeting – about 1-2 hours.*

Arrange for a private, nonthreatening location.

During the meeting ...

*Don't do all of the talking.
Practice good listening skills.
Treat employees with respect.*

Place the emphasis on problem-solving.

Don't make comparisons with other employees.

Stay on track by following the performance appraisal form.

Criticize constructively, referring to particular incidents, not the person.

Make notes regarding information gained during the meeting. Review and summarize.

Develop a performance improvement plan for problem areas – cover what, why, how, when.

Stay away from issues of personality and character. Stay focused on actual work performance.

Discuss specific, attainable goals/objectives for the next year. Consider the employee's aspirations.

Include the employee in "exploration" of solutions to problems – your solution may not always be best.

WHAT EMPLOYEES EXPECT FROM AN EVALUATION

Clear expectations on their performance.

Interest in their professional development, goals and discussion of future opportunities.

Recognition of their good performance and accomplishments - be specific!

The opportunity to provide input.

Honesty combined with tactfulness.

For negative comments, specific supporting examples and specific suggestions on how to improve.

What are the **EMPLOYEE'S** responsibilities during the evaluation?

***Prepare. *Be open. *Be realistic and objective. *Listen. *Speak. *Give input. *Plan for the future.**

Handling Employee Behaviors	10 Ways to Mess Up an Evaluation
<p><i>If the employee becomes defensive or makes excuses:</i> Listen, then paraphrase back. Maintain eye-contact. Don't solve the problem. Ask for specifics with open-ended questions. Ask how the employee would resolve the problem.</p> <p><i>If the employee becomes angry:</i> Stay calm and centered. Maintain eye-contact. Let the employee talk as long as he/she needs to until the employee can listen to you. Avoid arguments. Bring discussion and focus back to performance and standards. Ask open-ended questions.</p> <p><i>If the employee is unresponsive or withdraws:</i> Show concern, ask open-ended questions. Encourage the employee that you want to hear his or her input and that it is important to you.</p>	<ol style="list-style-type: none"> 1. <i>Spending more time on performance appraisal than performance planning.</i> 2. <i>Comparing employees to each other.</i> 3. <i>Forgetting appraisal is about improvement, not blame.</i> 4. <i>Thinking a rating form is a completely objective, impartial tool.</i> 5. <i>Stopping performance appraisal when a person's salary is no longer tied to the appraisals.</i> 6. <i>Believing they are in a position to accurately assess staff regardless of how involved they've been with their staff.</i> 7. <i>Canceling or postponing appraisal meetings.</i> 8. <i>Measuring or appraising the trivial.</i> 9. <i>Surprising employees during the appraisal.</i> 10. <i>Thinking all employees and all jobs should be assessed in exactly the same way using exactly the same procedures.</i>