

## The Performance Appraisal Process

### Tips and Techniques for Supervisors and Staff

**Please Note:** A **performance appraisal** is just one tool used in the **performance management** process.

Simply stated, **performance management** is an ongoing process of supervisors and staff working together toward the achievement of departmental and university goals. This process involves regular communications and feedback about the work products/services, business processes, and required resources (materials/training). Planning, tracking, celebrating/correcting, and assessing performance are key components of this process.

### Tips for Supervisors

#### Before the Meeting

1. Please give staff members sufficient notice of the Performance Appraisal meeting – at least two to three weeks is recommended.
2. Make certain that staff members know where to find the performance appraisal form and current job description.
3. Set a date for staff members to return their completed forms ( if you have requested that they appraise their performance themselves prior to the meeting). Ideally, you should have staff submit the completed appraisals at least a week and a half prior to the meeting.
4. Gather documents such as job description, staff member's appraisal (if applicable), prior year's performance appraisal (to rate goal accomplishment) notes on staff member's performance for the rating period (accomplishments, training, performance conversations, etc.).
5. Complete the performance appraisal using the online, electronic instrument. **Be certain to justify all ratings of a 5 or a 1 with comments.** These comments should be specific and include behavioral examples.

**Comment** – Good at meeting deadlines

**Improved Comment** – He/she met 5 out of the 5 deadlines given during this rating period. In fact, he/she delivered project x and project y a week early!

**Comment** – poor customer service skills

**Improved Comment** – She/He has been observed and has been cautioned about being rude to customers (May 9, 2013, October 25, 2013, and February 22, 2013).

6. Reserve a neutral, quiet, and private space for the performance appraisal meeting (conference room for example). Consider seating arrangements. For example, some research suggests that sitting opposite can subconsciously encourage confrontation while sitting diagonally (kitty-cornered) can subconsciously encourage cooperation.

### **During the Meeting**

1. Relax and approach the meeting and your staff member on a positive note.
2. Turn off cell phone so you can give your full attention to your staff member.
3. Encourage your staff member to participate in the conversation; ask open-ended questions instead of questions that require merely a yes or no response.
4. Remember, there should be no surprises during this conversation. This is not the time to bring up performance issues that have not been addressed. That is why ongoing performance feedback is critical.
5. Be certain to provide both positive and constructive feedback.
6. Ask for the staff member's thoughts and input and encourage him/her to add comments (if he/she has not already) about each of the seven performance dimensions.
7. Work together to identify goals for the next appraisal period – goals that develop the staff member's skills, knowledge, and abilities, build on existing strengths, improve performance in targeted areas, and support the departments and university's evolving needs.

Review the PowerPoint handout on goal setting if you need assistance with developing SMART goals (specific, measureable, attainable, relevant, and time-based). This document is on the [OHR Website](#).

8. Use clear and specific language and cite examples. Be certain to describe the performance and not the personality.
9. Agree to follow up at regular intervals throughout the appraisal period. We recommend that you schedule a mid-year review. This is an ideal tool for reviewing goal progress and addressing shifts in departmental or university priorities (if applicable). At this time, you may also want to ask the staff member how he/she prefers to receive feedback (in- person, email, etc.) and how he/she would like to be recognized for excellent work.
10. Close the meeting on a positive note by thanking the staff member for his/her contributions to the department and university. Offer your support and encouragement.

**NOTE:** Make certain that you and your staff member sign and date the appraisal form. Please submit the original signed appraisal form to the Office of Human Resources. Faxes and copies will not be accepted.

## Tips for Staff Member

### Before the Meeting

1. Gather documents such as your job description, prior year's performance appraisal (to rate goal accomplishment), and notes on the rating period (accomplishments, training, performance conversations, etc.).
2. Complete the performance appraisal yourself (if directed to do so by your supervisor) and then submit to supervisor by the deadline.

**Use the online, electronic instrument.** Be certain to **justify all ratings of a 5 or a 1** with comments. These comments should be specific and include behavioral examples.

**Comment** – Good at meeting deadlines

**Improved Comment** – I met 5 out of the 5 deadlines given during this rating period. In fact, I delivered project x and project y a week early!

3. When completing your next appraisal period goals, keep in mind that these goals may be new skills or knowledge that you would like to acquire. If you need assistance developing SMART goals, consult the PowerPoint handout on the [OHR Web site](#).

### During the Meeting

1. Relax and approach the meeting and your supervisor on a positive note.
2. Turn off cell phone so you can give your full attention to your supervisor.
3. Participate in the performance conversation. Ask clarifying questions if needed. If you disagree with a rating, calmly state why you disagree and cite specific examples to support your case. Your supervisor may have inadvertently overlooked an accomplishment or training.
4. Remember to add your comments as desired (if you have not already) about each of the seven performance dimensions.
5. Work together to identify goals for the next appraisal period – goals that help develop your skills, knowledge, and abilities; build on existing strengths; improve performance in targeted areas; and support the departments and university's evolving needs.
6. Follow up with your supervisor throughout the appraisal period. Request a mid-year review if one has not been scheduled. This is an excellent opportunity to review goals progress and, if need be, revise and/or add or delete goals.
7. Close the meeting on a positive note by emphasizing your commitment to the goals set for the next appraisal period. Thank your supervisor for his/her time and feedback. **NOTE: Make certain that you and your supervisor sign and date the appraisal form. Please submit the original signed appraisal form to the Office of Human Resources. Faxes and copies will not be accepted.**