Welcome to Part 1 of Performance Appraisal Training. This training is being provided by Human Resource Services.

Slide 2: Learning Objectives

The learning objectives for this training are:

- Preparing for and conducting performance appraisals
- Goal setting
- Documenting performance
- Enhancing coaching skills
- Creating a Performance Improvement Plan (PIP)

By attending this training, you will learn and grow your performance management skills. We will focus on the P&S performance appraisal process first, but we will also spend some time on each part of the overall performance management process.

Slide 3: Why Appraisals Are Important to Employees

- Learn areas of strength and weakness
- Tangible record of how they are doing
- Know expectations
- Supports development
- Encourages accountability
- Opportunity to discuss career development

For employees, this is an opportunity to hear about what they are doing well and what areas need improvement. This can serve as a huge motivating factor for employees. Also, by having a formal appraisal, they will know and remember what it is they need to improve upon. This also is a chance for expectations to be highlighted. Whether these are expectations that are highlighted in the job description, or they are new expectations based on a recent responsibility that this employee has undertaken, this meeting is the time to lay them all out. Goal setting is a crucial part of the meeting as well. These goals set the stage for the next year, and give the supervisor a framework for holding the
employee accountable for accomplishing goals. It is also a great time for employees and their
supervisors to talk about career development. Supervisors can offer guidance, support, training, or job
enrichment opportunities to help employees gain new skills and experiences.

**Slide 4: Why Appraisals Are Important to Supervisors**

- Consistent evaluation
- Helps identify their own strengths and weaknesses
- Motivation
- Accountability
- Individual goals vs. organizational goals
- Career development

Conducting performance appraisals is an important process for supervisors as well. Performance
appraisals demonstrate to employees how they perform is important and they are accountable for their
performance. If employees across the board are showing deficiencies in one particular area, it gives the
supervisor something they can go back and evaluate themselves on, in order to develop action plans for
improvement. These meetings can be great motivators for employees, which helps supervisors. No
supervisor will ever directly motivate an employee. Motivation comes from within, but helping an
employee outline practical goals for the upcoming year will go far in helping them become motivated.
In the goal setting process, supervisors can help their employees shape goals to fit with organizational
goals.

As mentioned previously, this also a good time to speak with employees about career development.
Good supervisors know an employee’s career development isn’t just the employee’s responsibility.
Employees want to know their supervisor supports their desire for career development opportunities
such as leading projects or attending training that will help them now and in their next career step.

**Slide 5: Scheduling the Appraisal Meeting**

- 1 week notice
- Set aside 1 hour
- Use it as a follow up for a previous appraisal
- Encourage the employee to prepare for the meeting

-- P&S Self-Appraisal
-- Supervisor Appraisal
-- Merit Discussion Guide
It is important to let your employee know at least one week in advance so they can clear at least an hour in their schedule and do their own preparation for the meeting. It is also important that this time is distraction free. Close the door, set your phone to “Send Calls” mode, and make sure the employee knows they have your undivided attention. The simple fact you care enough to tell them how they are doing goes a long way and can be a very important part when it comes to the motivation of employees. If this isn’t your first performance appraisal with this employee, use the previous year’s appraisal as a starting point. Discuss progress toward goals, and make sure you don’t rush through any part of this meeting. If you rush, it not only shortchanges your employee but can also make them feel less important.

**Slide 6: Annual Performance Appraisal Forms**

- [http://access.uni.edu/forms](http://access.uni.edu/forms)
- Preparation is key
- Stay on top of it all year
- Identify expected outcomes and possible solutions

The Forms Repository has a list of various forms used at UNI. At the top, click on the letter P. Scroll down to ‘Performance Appraisals.’ Select the appropriate form, based on the classification of the employee that you are evaluating, either Merit or P&S. It is important to have this form ready to go before the meeting. Staying prepared all year by keeping performance appraisal notes, which will be covered more in depth later, can have huge impacts on the success of the meeting. For expected outcomes that have not been achieved, it is important to have possible solutions identified before the meeting, but it is also important for the employee to assist in identifying solutions.

**Slide 7: Merit Employees—Forms & Timeline Differences**

- Performance appraisals are completed annually, 12 months from last review date
- For Merit employees in probationary status, complete the 3 month and 6 month evaluation, then 12 months from that date
- Utilize Two-Week Discussion Guide
- Separate appraisal forms for AFSCME-covered and Supervisory & Confidential

For Merit employees in probationary status, since they are either a new employee or an employee who has recently moved to a new position through a transfer or promotion, a three month and a six month evaluation will need to be completed and turned into HRS. Performance appraisals for permanent merit employees are completed annually, 12 months from their last review date. There is also a two week discussion guide to ensure the employee’s performance starts on the right track. The three month evaluation form should be completed toward the end of the second month or beginning of the third
month. On the form, the supervisor would recommend if the new hire employee would continue their probationary period or recommend termination. If evaluating a regular employee in a new position, the three month evaluation would be considered an interim evaluation and a second evaluation (six-month evaluation form) will need to be completed before the end of the probationary period. The six month evaluation form should be completed toward the end of the fifth month or beginning of the sixth month of the probationary period. Do not wait until the end of the six month probationary period to complete the evaluation, especially if there is a chance the recommendation will be termination.

Slide 8: Helpful Items for Writing the Appraisal

Include the following:

• Job Description
• Attendance record
• Notes on their performance
• Current projects they are working on
• Examples of successes and areas of improvement
• Work examples from the past year
• Notes on interaction with coworkers
• Job or career objectives from last review
• List of professional development activities completed during past year
• Recommendations for professional development for the upcoming year

Slide 9: Rating Scale

The rating categories on the P&S performance appraisal form include:

• Exceptional
• Highly Successful
• Satisfactory
• Needs Development
• Unacceptable

Remember the rating categories on the Merit forms are slightly different but the definitions are consistent. There are many misconceptions about these ratings. Supervisors often think that if an employee is essentially performing the duties listed in their position description, they deserve the rating
of Exceptional. An Exceptional rating should only be reserved for those who routinely contribute at a level that is far above the requirements of the position. An Exceptional rating implies this employee is the best at this particular function. A Highly Successful rating suggests an employee goes above and beyond what is expected of them. They do a great job in that particular area. A Satisfactory rating is just that—satisfactory. Contrary to popular belief, a Satisfactory rating is not a bad rating to receive. If an employee is doing their job, but not consistently going above and beyond, they should receive a Satisfactory rating.

A Needs Development rating suggests not all duties are being consistently performed to the level of expectations of that position. Perhaps the employee needs additional training, but it is important that performance is closely managed. Performance that needs development one year can quickly turn unacceptable the next, if the proper action is not taken. An Unacceptable rating means that if an employee does not change their behavior, it is possible that they will be terminated. Consult with Human Resource Services for assistance with performance management.

**Slide 10: Examples of Poor Supporting Details**

All of these employees received an Exceptional rating for the Planning/Organizing category and illustrate poor examples of supporting details to justify the rating.

- “An obvious strength.”
- “Very effective with limited resources.”
- “Very organized, but may need to assume additional projects.”
- “Is highly productive.”
- “Able to manage a large work load.”

**Slide 11: Examples of Better Supporting Details**

These two employees also received an Exceptional rating for the Planning/Organizing category and provide more detailed information to justify the rating:

- “I am very pleased with and dependent upon Pam’s organizational and planning skills. She is always out in front on planning and anticipating possible concerns while staying on task. She involves others as appropriate in her planning and keeps the big picture in mind while addressing the current details.”

- “Pam adapts readily to changing workloads and priorities, as is a common occurrence in her department. Pam has developed procedures for handling her own individual work flow, as well as contributed to the review and revision of the department’s policies and procedures. In the past year, Pam has demonstrated her planning and organization abilities as a team member on several department events and projects.”
This concludes Part 1 of Performance Appraisal Training. We hope that you will continue with Part 2.

Part 2:

Welcome to Part 2 of Performance Appraisal Training. This training is being provided by Human Resource Services.

**Slide 12: Rating Tendencies to be Careful of**

We will now discuss several Rating Tendencies that can affect Performance Appraisals. Having a knowledge about these tendencies can help you work to avoid them; thus keeping the Appraisals as objective as possible.

The Halo Effect is inflating ratings in many or all areas because of a good rating in one category.

The Opposite of Halo Effect is deflating ratings in all areas because of one bad rating.

Central Tendency is making all ratings average because one rating is average.

The Recency Effect is rating only on recently exhibited performance. Remember, this appraisal is for the previous 12 months; not only the last 2 months.

The Spillover Effect occurs if the employee’s previous review was very high or very low. It is very important not to let that influence this year’s review. Remember that each year is a new time to be reviewed, and that previous performance does not dictate this year’s performance rating.

The Status Effect is altering someone’s rating based on the status they have within the department or university. This can either raise or lower ratings.

Finally, Personal Bias: You cannot let your personal feelings towards a person get in the way of their appraisal. It doesn’t matter if this raises or lowers the ratings; ratings must be kept objective.

**Slide 13: Rating Tendencies Example 1**

We will now go through some examples of scenarios where these Rating Tendencies can be seen in order to become better at identifying them.

- Meredith has been working at UNI for 5 years and has always received high ratings on her performance appraisals. Her boss figures that there hasn’t been much change from the previous year and gives her the same marks.

What tendency is in effect here? It is the Spillover Effect.

**Slide 14: Rating Tendencies Example 2**
Toby is due for his annual performance appraisal. Michael, his supervisor, has never liked Toby at all. He thinks Toby makes the office a boring place to work, and gives him poor ratings in the hope that Toby will leave.

What tendency is in effect here? It is Personal Bias.

**Slide 15: Rating Tendencies Example 3**

- Jim is by far the most popular guy in the office. Everyone loves his jokes and he is always the center of attention at work gatherings. His supervisor, not wanting to be alienated from this popular employee, gives him very high marks on his performance appraisal.

What tendency is in effect here? It is the Status Effect.

**Slide 16: Rating Tendencies Example 4**

- Since Thanksgiving, Pam’s boss has noticed she has really been motivated to get things done at work. He is impressed by this, and gives her very high ratings during the performance appraisal meeting.

What tendency is in effect here? It is the Recency Effect.

**Slide 17: How to Conduct the Meeting**

- Put employee at ease
- Review goals—both accomplished and those that need work
- Recognize good performance!
- Be a good listener
- Review position description & proposed necessary edits to HRS

Keeping the meeting relaxed and open will help you yield the desired results. If you are relaxed, then the employee will be more relaxed and open for discussion. It is necessary to review the job responsibilities in order to determine if the employee is completing all the duties in the position description. If there needs to be any edits to the position description, contact HRS. Reviewing goals from the previous year is useful for setting new goals and it also holds the employee accountable for accomplishing them. No one is going to work hard to accomplish a goal if they are never asked about it again. Also it is necessary to review the previous year’s goals, so employees know that you care enough about their performance to make sure they follow through with their commitments. Many times performance appraisals have a negative connotation with employees. Make sure that you recognize good performance; this will keep the tone of the meeting positive even if there are issues that need to be addressed. Allow the employee to provide input on their performance and explain any areas that are deficient. Even though you may
not agree with the employee’s input, it is important for you as a supervisor to be a good listener. Hear them out then you can address the issue further.

**Slide 18: Additional Tips for the Meeting**

- Provide specific examples where possible
- Avoid vagueness about performance
- Quantitative beats qualitative
  - For example, “Absent 6 days last month” beats “Chronically Absent”
- Keep the discussion productive

**Slide 19: What to do if the employee gets…**

**Emotional:**

- Low, even tones
- Minimize their embarrassment
- Ask if they want to come back later
- Give them time to recompose

**Angry:**

- Speak firmly, but calmly
- If it continues...
  - Ask them to leave
  - State the meeting will be rescheduled
- If you feel threatened, contact Public Safety

In some reviews, especially ones where the employee may not have been performing up to standards, it is possible they may begin to get emotional and possibly start to cry. While this is not a comfortable situation for the supervisor, it is probably embarrassing for the employee so it is important for the supervisor not to panic. Speak with them in low, even tones and try to minimize their embarrassment. Offer tissues if necessary, and ask if they would like to come back later to finish the meeting. It is important this is not used as an excuse for the employee to avoid the meeting, so make sure to finish the meeting as soon as possible. However, give the employee time to recompose themselves before continuing.
On the other end of the emotional spectrum, if the employee gets angry and raises their voice, you still need to keep yourself composed. Do not panic and do not raise your voice. As soon as you start to get angry, the situation could spiral out of control. Speak calmly, but make sure you keep a firmness to your voice in order to maintain control of the meeting. If it continues, ask the employee to leave and continue the meeting at a later date. If you feel threatened in any way, do not hesitate to contact Public Safety.

**Slide 20: What to do if the employee..**

**Walks Away:**

- Not the worst thing in the world
- Do NOT restrain them
- Bring it up later
- If they continue to walk away, contact HRS

**Becomes Silent:**

- Use open ended questions
- Address the issue
- Request that they talk
- Consider rescheduling the meeting

Some employees may choose to simply get up and leave during a negative performance review. This is not the worst thing that could happen, although it is far from desirable. Do not restrain the employee, as this will only cause them to get angry. Simply remind them the next day that they have a meeting with you that needs to be finished. This approach should bring them back into the meeting, but if they continually have the problem of walking away, contact HRS.

Some employees may choose to react by just sitting there in silence. This reaction can be very frustrating to the supervisor. The key is to again, stay calm, and try to make the environment conducive to openness in your office. Ask open ended questions so they will have to answer. If they provide one word answers or don’t answer, address the issue. Let the employee know this is a meeting they need to participate in, and request they be open with you. If all else fails, it may not hurt to reschedule the meeting for the next day. Don’t let the employee off the hook, but giving them the opportunity to think about it overnight may change their behavior. Again, if this doesn’t work, do not hesitate to contact HRS.

This concludes Part 2 of Performance Appraisal Training. We hope that you have learned something new and that you will continue with Part 3.
Part 3:

Welcome to Part 3 of Performance Appraisal Training. This training is being provided by Human Resource Services.

Slide 21: Goal Setting

To begin Part 3, we will discuss goal setting and how to establish goals that can positively impact performance.

- Make sure that your goals are SMART
  - Specific
  - Measurable
  - Attainable
  - Realistic
  - Timely

Slide 22: SMART Goal Setting—Specific

First, we will talk about specific goals.

- An example of a goal that is too broad is “Get to work on time more.” The main problem with goals that are too broad is that it is impossible to tell when they have been accomplished, and if you ever go back and review your goals you may not even realize what they were about to begin with. What does it mean to “get to work?” Are you in your office? Just getting coffee? What about “on time more?” If you are only on time once a week now, does that mean you will start coming in on time two or three times a week? The specific goal to “Be in the office at 8 a.m. every day” is much better because it tells the employee where they need to be and exactly when they need to be there. They will be able to know when this goal has been accomplished.

Slide 23: SMART Goal Setting—Measurable

Next, we will talk about why it is important that goals are measurable.

- An example of a goal that is not measurable is “I want to do more with my time at work.” This goal does not serve much purpose at all because, as with any goal that is not measurable, it is impossible to tell when that goal has been achieved. A goal such as: “I will lead 1 project that will be completed by the end of the year” is much better because by the end of the year, you
will know whether or not you have lead a completed project—or at least how close you are to finishing it.

**Slide 24: SMART Goal Setting—Attainable**

Third, we will discuss attainable goals and why they are important.

- The difference between goals that are not attainable and goals that are not realistic can sometimes get confusing. A goal is unattainable when one does not have the expertise or skill set available to accomplish the goal. For example, the goals “I will become a professor of Organizational Behavior by next fall.” vs. “I will become knowledgeable on rating tendencies for the Performance Appraisal Training.” The rating tendencies that were discussed in Part 2 of this training are part of the Organizational Behavior class that is offered on campus. While I had the skill set to become knowledgeable about the tendencies for this seminar, I do not possess the skill set or the expertise to become a professor of the course by next fall.

**Slide 25: SMART Goal Setting—Realistic**

Next, we will talk about the importance of realistic goals.

- Goals that are not realistic are goals that cannot be accomplished due to constraints of time or resources. “I will provide training to every supervisor on campus” is an unrealistic goal because, while I do possess the skill set to give this presentation to everyone; I do not have the time. However, I do have the time and resources to “Offer training and encourage participation by every supervisor on campus.”

**Slide 26: SMART Goal Setting—Timely**

Finally, we will learn about the importance of having goals that are timely.

- If goals are not bound to a time constraint, they are useless. Additionally, if that time constraint is not reasonable, the goal is still useless. The goal “I will be in my office by 8 a.m. every day...starting in 6 months” is obviously less beneficial than the goal, “Effective immediately, I will be in my office by 8 a.m. every day.” The second goal gives clear direction to the employee of when they need to be in the office. If the goal doesn’t start for six months, it is very possible the employee will forget about the goal, meaning the lack of a time constraint will render the goal useless.

**Slide 27: How to Prepare all Year**

- Create a Critical Incident File
  - Positive and negative performance
  - Summarize performance discussions
  - Serves as documentation for disciplinary process
- Coach employees
  - Their performance vs. your expectations
- Recognize great performance & achievements
- Conduct follow up session after the appraisal
  - Performance
  - Goal attainment check

Documenting performance throughout the year makes it much easier for you to prepare the annual performance appraisal. The Critical Incident File is important because it keeps a tangible record of employee performance. Maintain the Critical Incident File in a secure location that others cannot access, either a locked file or secure electronic drive. Make sure you use past examples with specific citations of positive or negative behavior. This allows you to focus on the employee’s actions and not the employee personally. Criticisms of performance should never be made based on personality traits or other characteristics intrinsic to the employee. They must be made about behaviors and actions. These documents also provide support for the disciplinary process. Also, any performance discussions you have with an employee throughout the year should be noted. For example, it is difficult to tell an employee that they were late for work 10 times last month if you do not have documentation to support it. When errors are made, it is important to coach employees on what they did wrong and what your expectations are so the errors are not repeated. Remember to recognize employees for accomplishments and tasks they have done exceptionally well. By holding follow up meetings throughout the year, you can keep track of not only how your employee is performing, but how they are tracking towards goals that were established.

Slide 28: Addressing Performance Issues

- Performance Improvement Plan
- Document the problems
- Show examples of deficiency
- Set improvement goals
- Be honest but tactful
- Schedule a follow up meeting to discuss progress

A key part of the process to address performance issues may be the development of a Performance Improvement Plan or PIP. A PIP is a way to give underperforming employees the opportunity to succeed while holding them accountable for past performance. It is not always clear what is the cause for the poor performance. The supervisor needs to allow for open dialogue and consistent feedback in order for the employee to be successful.
The first step in the PIP process is to document the performance areas that need improvement. Be specific and provide examples to further clarify the issues. The second step is developing an action plan for improvement. The action plan should include objectives that follow the SMART philosophy. The action plan should clearly set performance objectives and include a statement regarding the consequences for not meeting these objectives. The third step would be developing a timeline and reviewing the draft PIP. The supervisor should seek assistance from their supervisor and HRS to review the PIP to ensure the objectives are clearly stated. Typically the timeline for a PIP is 60 or 90 days in length.

The fourth step is reviewing the plan with the employee. During this meeting, the supervisor communicates the areas for improvement and the plan of action. Allow for the employee to provide feedback and input then modify the action plan if needed before obtaining signatures on the PIP form. For step five, the supervisor and employee should establish regular follow up meetings to discuss and document progress toward objectives. These follow up meetings can either be weekly, bi-weekly, or monthly. Employees should have the opportunity to ask questions and seek guidance on the performance objectives. The supervisor should ensure any potential roadblocks are discussed and that the employee has all the tools necessary to be successful. If the employee fails to sufficiently improve, please contact HRS for guidance on the next steps. However, when the employee has responded positively by meeting all the objectives, the supervisor should formally close the PIP.

**Slide 29: Attitude Problems**

- Avoid the word “attitude”
- Discuss specific examples of observed negative behaviors
- Provide examples of positive behavior

Attitude problems can be major because they can affect everyone in the office; not just the individual with a poor attitude. When addressing someone with a poor attitude, it can actually help if you avoid the word “attitude” as this always carries a negative connotation and may turn the employee off of the discussion before it begins. Some examples of a poor attitude include being disrespectful to a superior, missing deadlines without reason, coming in late, leaving early, and skipping meetings on a regular basis. Focus on the work-related problems these negative behaviors create, not on personalities. Explain why it is a problem, whether it is poor morale or reduced productivity then provide the employee examples of positive behavior. If the reason for the negative behavior is personal, offer the services of the Employee Assistance Program or EAP.

**Slide 30: Summary**

- Performance management is a year-long process
- Be prepared for the performance appraisal
- Set S.M.A.R.T goals
• Provide coaching throughout the year
• Address performance issues as they occur

To sum up the main themes of this presentation, performance management is a year long process. If you as a supervisor do a good job of keeping track of positive and negative performances throughout the year, the performance appraisal will be more accurate and worthwhile for the employee. The performance appraisal is a great time to set goals with your employee for the upcoming year. Make sure these goals are SMART (Specific, Measurable, Attainable, Realistic, and Timely). Once the goals are established, provide coaching throughout the year and track the employee’s progress toward accomplishing the goals. If an employee has performance issues, address them as they occur; don’t wait until the next performance appraisal meeting. If the employee’s performance does not improve through coaching, utilize the Performance Improvement Plan (PIP) process to address the issues.

Slide 31: What comes next?

The final question that must be asked is “What comes next?”

• All Merit and P&S forms are located on the Forms Repository
• Merit performance appraisals are completed annually, 12 months from last review date and at three and six months during the probationary period
• P&S performance appraisals should be completed by May 9th
• For P&S employees, submit copy of the appraisal form to HRS for tracking purposes and to be placed in employee’s personnel file. Submit the originals of the form to the Division VP Office, except for the President’s Division where HRS will receive the originals.

This concludes Part 3 of Performance Appraisal Training. We hope that you have found this training beneficial and that you will share it with others in your office and across campus.