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Maximizing the Performance Appraisal Form

It's that time of year again when Performance Appraisals are due. With the many feelings you may be experiencing right now, this training can help put some of those at ease.

One of the best ways to feel more comfortable about having that performance appraisal discussion is to make sure you are prepared. Congratulations on taking the first step to an easier, more comfortable performance appraisal.

By the end of this online training you will be able to:

1. Identify the difference between the exempt employee and the nonexempt employee.
2. Specify what a performance appraisal is used for.
3. Locate each of the two Performance Appraisal Forms on the Blinn College website.
4. Identify steps that can be taken to make the performance appraisal process easier for all parties.
5. Prepare and complete all sections of the Blinn College Performance Appraisal Form accurately.
6. Classify an employee using the appropriate rating levels (EE, ME, I, U).
7. Distinguish the difference between poor performance and misconduct.
8. Develop goals that will help the employee become a higher performer.

VERY IMPORTANT!!

YOU MUST GO ALL THE WAY TO THE BOTTOM OF THE REFERENCES PAGE TO RECEIVE YOUR COMPLETION CERTIFICATE!!

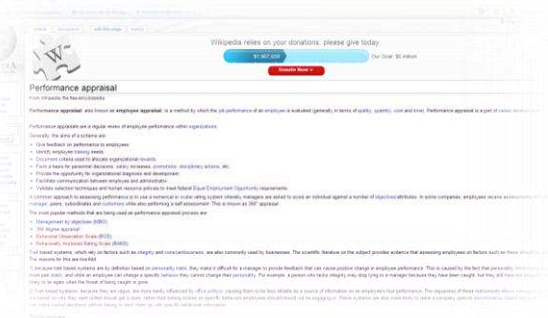
Your successful completion of this training is dependent on your scores on activities throughout the training. You must complete the activities and complete the information box at the bottom of the references page to receive your certificate.

The first thing when trying to understand performance appraisals is to define it and discover what a performance appraisal is actually used for.

Definition from Wikipedia:

Performance appraisal, also known as **employee appraisal**, is a method by which the job performance of an employee is evaluated (generally in terms of quality, quantity, cost and time). Performance appraisal is a part of career development.

Performance appraisals are a regular review of employee performance within organizations.



Generally, the aims of a scheme are:

- Give feedback on performance to employees.
- Identify employee training needs.
- Form a basis for personnel decisions: salary increases, promotions, disciplinary actions, etc.
- Provide the opportunity for organizational diagnosis and development.
- Facilitate communication between employee and administrator.
- Validate selection techniques and human resource policies to meet federal Equal Employment Opportunity requirements.

The Blinn College Performance Appraisals define their purpose on the front page of each document.

It reads:

“The purpose of the classified/professional performance appraisal survey is to provide input to the employee to help him/her become more effective in carrying out assigned duties. Information from these appraisals may also be used by the administration in making decisions relative to promotions, job duties or assignments, and continued employment.”

Great care must be taken when completing a performance appraisal to ensure that it accurately reflects the staff 's performance and aids the employee in improving their personal and professional skills, knowledge and abilities and may even initiate a personal development plan.

This online training will take you through the Non-Faculty Performance Appraisal Form step by step to maximize its resourcefulness in ensuring that Blinn College continues to provide outstanding employees that help prepare our students to succeed at universities, in their careers, and in life.

So let's get started. . .

Nonexempt vs. Exempt Employee

Who is an exempt employee?

An employee who is exempt under the Fair Labor Standards Act does not have to be paid overtime when he/she works more than 40 hours in a work week. The three major general exemptions relate to executives, administrative employees, and professionals. Exempt status is based on the employee's actual job duties and responsibilities.

Who is a non-exempt employee?

A nonexempt employee is entitled to overtime pay under the Fair Labor Standards Act.

Adapted from <http://www.PVAMU.edu/print/2020.asp>

Examples of exempt employees are Deans, Directors, Managers and Supervisors.

Examples of non-exempt employees are maintenance personnel, food service personnel and clerical personnel.

If you are unsure whether the employee is exempt or non-exempt you can refer to the employee's job description or contact your HR department at x 4128.

(For purposes of this training we will be referring to the Non-exempt Employee Performance Appraisal)

There are two forms used when completing a Performance Appraisal. For the Performance Appraisal to be effective, you must select the appropriate form.

- 1) Performance Appraisal for Exempt Employees
- 2) Performance Appraisal for Non-Exempt Employees

Here are step by step instructions on how to get to the Performance Appraisal's online.

1. From the Blinn College Internal homepage select Human Resources Forms under the Forms heading.
2. Both Performance Appraisal forms are listed alphabetically in the forms table.
3. You can also access them using the hyperlink at the end of this training in the attachments table.

To view Blinn College Board Policy concerning Exempt and Nonexempt employees refer to the Compensation and Benefits: Salaries (DEA-Local) policy or click here:

[http://www.tasb.org/policy/pol/private/239501/pol.cfm?DisplayPage=DEA\(LOCAL\).pdf](http://www.tasb.org/policy/pol/private/239501/pol.cfm?DisplayPage=DEA(LOCAL).pdf)



Put your employees on the Road to Success!

➔ What is your goal for the performance appraisal?

Instead of answering “To get it over with!” you should ask yourself questions that would benefit your department, Blinn College, and the students we serve. Remember, your department can benefit from increased performance, so the key is to find out what issues there may be and how you can improve low performance. It is important to remember that one of the best ways to increase motivation and teamwork is to encourage the employee to operate within their fullest potential. This may require you to draw upon their strengths and help them come up with a plan to develop opportunities.

So, let me ask you again, are you looking to improve an employee’s performance or reward good performance. Would you like to establish new performance expectations or receive feedback or other goals. This is also a great opportunity for you to evaluate the job description for potential necessary updates and take out information that is not relevant to job position anymore.

“A basic principle of effective management is that all behavior is controlled by its consequences. Those consequences can and should be both formal and informal and both positive and negative. Positive consequences include rewards and recognition, promotions, within-grade-increases, etc. Negative consequences may include counseling, reassigning, removing, or downgrading the employee.

REWARDING PERFORMANCE Rewarding performance means providing incentives to, and recognition of, employees for their performance and acknowledging their contributions to the agency's

mission. Recognition is an ongoing, natural part of day-to-day experience. Good performance should be recognized without waiting for nominations for formal awards to be solicited.”

-US Department of the Interior, Performance Appraisal Handbook p. 18



TARGET AREA: TURNAROUND TIME

What you will need:

- Section 1 of the employee's current performance appraisal
- The employee's job description
- An Employee's Guide on How to get the Most out of a Performance Appraisal

Section 1 is to be completed by the employee so get Section 1 to them as soon as possible along with a copy of their job description.

You may find it easiest to have a departmental meeting or one on one meetings to let the employees know when you expect them to return the document and how they are supposed to complete it.

PLEASE RETURN BY: NEXT MONDAY

PUT THE DATE OF EXPECTED RETURN ON SECTION ONE WHEN YOU GIVE IT TO THEM. This gives them a clear expectation of when you need it back and is a great reminder in case they forget.

The employee will list each essential job duty on the lines in Section 1. More lines can be added if their job requires more duties. In the

“Percentage of Time Spent” they should put a number indicating how much time they spend performing that job duty.

NOTE: The way the form is designed is that all the percentages in the “Percentage of Time Spent” column should add up to 100%.

For example:

Essential Duties	% of Time Spent
Answering phone	50%
Filing	30%
Answering emails	20%
TOTAL	100%





TARGET AREA: IMPROVING PERSONAL DEVELOPMENT

What you will need:

- The employee's previous performance appraisal if available
- Section 1 of the employee's current performance appraisal

Don't let employees come into the Performance Appraisal blindly or leave blindly, without a sense of direction or accomplishment!

Blinn College has a strong desire to help employees develop personally. One way to achieve this is to accommodate employees in improving their personal and professional abilities.

In the “GOALS” subsection of Section 1, the employee will list any previous goals. It will be beneficial for the supervisor to go over an employee’s previous review if available so that they can determine if they achieved their goals from the prior performance appraisal.

If there is no previous performance appraisal or if there were no goals listed, the employee should think about goals they would like to achieve over the next year.

NOTE: We will go over writing goals later in the training.

What does the supervisor complete on Section 1?

The supervisor will complete the “Rating by Supervisor” column under the Essential Duties list.

This area of the performance appraisal is useful when evaluating what job duties need to be added or removed from the job description. It is also a great way to take advantage of readjusting the employee’s focus time on less important job duties.

A supervisor who takes their time reviewing this portion of the performance appraisal can help employees prioritize their job duties to ensure that duties are being completed efficiently.

➔ Maximizing the Performance Appraisal Form will really allow you as a supervisor to motivate your employees.

The first opportunity you have to coach the employee is in the “Supervisor’s Comments” directly under the list of essential duties.

An additional opportunity to coach the employee is at the bottom of section 1 directly below the “Employee’s Goals”. Remember, the performance appraisal is not the place that the employee should hear about a particular problem the first time.

➔ Section 2

What you will need:	<ul style="list-style-type: none">• The employee's previous performance appraisal (if available)• Section 2 of the employee's current performance appraisal
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Before completing Section 2 you should have already read the employee's job description and previous performance appraisal if one was completed.

The four areas you are to address are:

- 1) Job knowledge
- 2) Quality of work
- 3) Quantity of work
- 4) Working relations/customer satisfaction.

The four ratings you can assign for each area addressed are :

- 1 = Exceeds Expectations (EE)
- 2 = Meets Expectations (ME)
- 3 = Needs Improvement (NI)
- 4 = Unsatisfactory (U)

“There is a difference between Unsatisfactory performance and misconduct. *Unsatisfactory performance (can't do)* is failure of the employee to perform the job at the required level (at least Minimally Successful level), where *misconduct (won't do)* is generally failure to follow a workplace rule (whether written or unwritten). Examples of misconduct are: tardiness, absenteeism, unprofessional/discourteous conduct; damaging/destroying Blinn College property; falsification, etc. It can also be considered a conduct problem when an employee is capable of performing his/her duties at an acceptable level but chooses not to. Sometimes, misconduct can result in poor performance. Sometimes performance and misconduct can be interrelated; however, it is important to recognize the difference between the two.”

Let's take a more detailed look at what each rating may contain.



Level 1 (EE) Exceeds Expectations

- Performance consistently exceeded expectations in all essential areas and the quality of work overall was excellent.
- The employee consistently surpassed all requirements of the position.
- Accomplishments are significant and superior to the standards of the position.
- Performance at this level is rarely achieved by peers.
- Contributions serve as a role model for others.

Some examples of work behavior typical of this level of performance are:

- Accomplishments exceed what is expected of the individual.
- Each project or job is done thoroughly and on time.
- Employee continually provides “extras” and takes initiative
- Employee requires practically no direction and supervision
- Employee thinks beyond details of the job, works toward the overall objectives of the organization
- Personal commitment to a high level of performance and results is evident.



Level 2 (ME) Meets Expectations

- Performance consistently met expectations in all essential areas of responsibility, at times possibly exceeding expectations, and the quality of work overall was very good.
- The employee met all essential requirements of the position, and may have exceeded some.
- Accomplishments are clearly in accordance with the standards of the position.
- Represents positive contribution to department performance.
- Work performance is what is expected of a fully qualified and experienced person in the position or an employee who is learning the responsibilities of a new position. Major areas of responsibility are performed in an acceptable manner.

Some examples of work behavior typical of this level of performance are:

- Errors are minimal and seldom repeated
- Employee prioritizes problems well
- Employee requires only normal supervision and follow-up
- Employee completes work or projects on schedule
- A reasonable balance between quality and quantity is demonstrated



Level 3 (NI) Needs Improvement

- Performance did not consistently meet expectations-performance failed to meet expectations in one or more essential areas of responsibility. A professional development plan to improve performance must be outlined, including timelines, and monitored to measure progress results
- The employee requires some improvement to make full contributions to the job and department.
- The employee may have met most of the requirements for the position, but there are specific areas that the employee needs to address.

Some examples of work behavior typical of this level of performance are:

- Employee does not complete tasks or assignments in a timely manner
- Employee does not display a sense of urgency and tends to procrastinate regarding issues at hand
- Occasionally requires corrective measures



Level 4 (U) Unsatisfactory

- Performance was consistently below expectations in most essential areas of responsibility. Significant improvement is needed in one or more important areas. A plan to correct performance, including timelines, must be outlined and monitored to measure progress.
- Performance was below expectations and requires specific plan of action to correct noted deficiencies.
- The employee did not meet the important requirements of the position.
- Failure to improve performance could lead to a future disciplinary action.
- Work performance consistently fails to meet the requirements of the objective.
- Work performance on most major areas of responsibility is inadequate.
- Employee has been on the job long enough to show better performance.

Some examples of work behavior typical of this level of performance are:

- Despite repeated explanations, employee does not grasp requested or required tasks
- Employee requires close guidance.
- Work assignments are completed dependably only with constant follow up.
- Consistently requires corrective intervention.

➔ When looking back at Section 2 of the Performance Appraisal Form each of the four areas is followed by a paragraph which describes the behavior which is required to meet expectations, thus the equivalent of a level 2 score (ME) Meets Expectations. It is considered to be the base level standard. Based upon the rating descriptions we previously covered, you may determine that an employee's performance is deserving of a level 1 rating. If the descriptive paragraph is too generous and does not accurately reflect the behavior of the employee, a level 3 or 4 rating may need to be assigned.

➔ Keep in mind: There is a space for comments for a reason!

Utilize the comments section by mentioning specific actions, events, or examples.

“Probably, several people are going to read this document, including upper management and perhaps one or more individuals in the human resources department. One of the things they are going to look for is whether there is a reasonable correspondence between the narrative and the rating. Another reader of this document will be the employee: Making it clear, in the narrative explanation, how the rating was arrived at will greatly reduce the occasions for disagreement or resistance.” (Ready to use Performance Appraisals, Swan, p.12)

➔ The last part of Section 2 is the OVERALL APPRAISAL

In this section you will determine a range that most accurately indicates the employee’s overall performance in their present position.

“If data collected six weeks into the year suggests that employees are veering down the wrong path, it would be unwise to wait until the end of the year to tell them about it. The manager should make an intervention now, if possible. On the other hand, that event, and the action the manager finds necessary to take, should still go into the system as a piece of data for ultimate inclusion in the performance appraisal. Suppose I am reviewing Linda’s performance at the end of the year. She says, “Lately I’ve been trying hard and doing a lot better. I think I deserve a rating of ‘exceeded the standard’ on the performance factor.” The manager can say, “In fact, most of the year your performance on that factor ‘met the standard’ and a couple of times you exceeded it. But first two months, you were performing ‘below the standard’ so overall for the year you performed at ‘met the standard.’” Certainly it’s encouraging that Linda’s performance is improving. But the evaluation period is the entire year, not just the past two months.” (Ready to use Performance Appraisals, Swan, p.9)



➔ TARGET AREA: Writing Goals

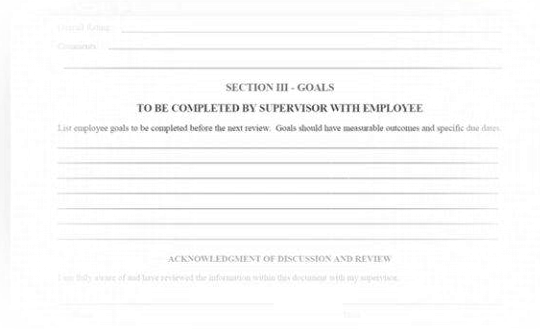
What you will need:	<ul style="list-style-type: none">• The employee's previous performance appraisal if available• Section 3 of the employee's current performance appraisal• Recommended that you print this portion of the training• <u>A Supervisor's Guide to Developing Individual Development Plans</u>• <u>Performance Goals and Objectives Verb List</u>
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CAUTION! This part is to be completed **WITH** the employee!

There are really three steps to completing this section:

- 1) Write the Goal
- 2) Define how the goal will be measured
- 3) Specify the date the goal is to be completed by

Imagine that this section is really a table with three columns. Our imaginary table may look something like this:



Goal:	How the goal will be measured.	Target completion date:

What are goals?

Goals are broad, generalized statements about what is to be learned. Think of them as a target to be reached, or “hit.” (“Writing Educational Goals and Objectives”; <http://www.personal.psu.edu/bxb11/Objectives/>)

Many supervisors find it helpful to remember SMART criteria when writing their goals.

S = Specific- This answers questions such as: how much, for whom, for what? Your goal should answer these questions

- What exactly is the employee expected to do?
- Is it clear where this will happen?
- Is the outcome clear?
- Will this goal lead to the desired outcome?

M = Measurable- A measurable goal has an outcome that can be assessed either on a sliding scale (1-10), or as a hit or miss, success or failure.

- What measurement will indicate the employee has successfully completed, or continues to meet the objective?
- Can these measurements be obtained?

A = Achievable- An achievable goal has an outcome that is realistic given the current situation, resources and time available. Goal achievement may be more of a “stretch” if the outcome is tough or if the employee has a weak starting position.

- Can the employee accomplish the objective in the proposed timeframe with the resources we have?

R = Relevant- A relevant goal should help the employee on their mission to the “bigger” objectives, the goals of the institution

T = Time-bound – The point in time when the goal will be started or completed.

- When will this goal be accomplished?
- Is there a stated deadline?

➔ That's great! But I still don't know what a well written goal looks like!

Examples:

“Sue will complete two hours of customer service training and provide completion certificates to her supervisor before December 31.”

“John will meet with his supervisor at the beginning of each shift, starting tomorrow, January 1, to discuss and prioritize daily tasks.”

“Jane will supply requested documents to her supervisor within 24 hours of reasonable request beginning immediately.”

➔ THE ACKNOWLEDGEMENT OF DISCUSSION AND REVIEW

This area certifies that each participant has reviewed the information contained in the performance appraisal. It is important that it is dated accurately then submitted to the reviewing manager for additional comments.

ACKNOWLEDGMENT OF DISCUSSION AND REVIEW

I am fully aware of and have reviewed the information within this document with my supervisor.

Employee _____ Date _____

Supervisor _____ Date _____

Reviewing Manager's Comments: _____

Manager _____ Date _____

Performance Management

Although we have spent time discussing the Performance Appraisal another core component is the Performance Management process. The appraisal should not be the only time you discuss performance areas with your employees. There may be times when an employee needs to be commended for their hard work or good leadership skills. There may also be times when an intervention needs to be put into place to redirect the employee onto the right professional path that aligns with the institutions goals. At any point, notes should be made by the supervisor to refer back to at the time of the performance appraisal process.

Seven great attachments. . .

. . . to help you continue maximizing the performance appraisal process

Title of Document	Why should I use it?
<u>An Employee's Guide on How to get the Most out of Performance Appraisals</u>	<ul style="list-style-type: none"> • Helps ease employee's nervousness about the performance appraisal. • It is most useful when distributed with Section 1 of the Performance Appraisal and the employee's job description
<u>A Supervisor's Guide on How to get the Most out of Performance Appraisals</u>	<ul style="list-style-type: none"> • Helps the supervisor become more prepared, thus less apprehensive about the performance appraisal process • It is most useful when used before you begin the Performance Appraisal process
<u>A Supervisor's Guide to Developing Individual Development Plans</u>	<ul style="list-style-type: none"> • Aids the supervisor when developing those tough development plans to help employees move from unacceptable or needs improvement performance to a high performer that exceed expectations • Most useful when used prior to completing Section 3:Goals with the employee
<u>Print the pdf version of this training</u>	<ul style="list-style-type: none"> • With only minor differences, printing a paper version of this training will serve as a helpful tool while completing activities and a great resource as you move through the performance appraisal process.
<u>Performance Appraisal for Non-exempt employees</u>	<ul style="list-style-type: none"> • This is a direct link to the Non-exempt Employee Performance Appraisal form
<u>Performance Appraisal for Exempt employees</u>	<ul style="list-style-type: none"> • This is a direct link to the Exempt Employee Performance Appraisal form
<u>Performance Goals and Objectives Verb List</u>	<ul style="list-style-type: none"> • This document provides verbs to use when writing performance goals and objectives

The first three attachments adapted from the U.S. Department of the Interior Performance Appraisal Handbook

References

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