The University of Alabama

Annual Employee Performance Evaluation Supervisor Tutorial

(Length/Completion Time: 21 Slides/Approximately 10 Minutes)
TUTORIAL OBJECTIVES

- Communicate the purpose and value of conducting effective performance evaluations
- Provide a step by step guide to preparing for and conducting a formal performance evaluation
- Direct Supervisors to additional resources that may be useful for the Performance Evaluation process
WHAT IS THE PURPOSE OF CONDUCTING ANNUAL PERFORMANCE EVALUATIONS?

- Provides formal feedback regarding an employee’s performance (Everyone wants to know “how they’re doing”)
- Creates an additional opportunity for recognition of exceptional performance
- Helps identify and document areas in need of improvement
- Can be used as a tool to create individual training and development plans
- Allows for the communication of expected performance standards
WHAT IS THE PURPOSE OF CONDUCTING ANNUAL PERFORMANCE EVALUATIONS?

- Performance evaluations provide documented, objective information that can be useful for:
  - justifying merit increases
  - promotional opportunities
  - counseling/progressive discipline

- Effective performance appraisals demonstrate commitment to your employee’s development and can POSITIVELY IMPACT PERFORMANCE!
Supervisors are encouraged to review the complete Guidelines for the Performance Evaluation Process and Goal Setting located at: http://hr.ua.edu/empl_rel/perf-eval-guidelines.htm

In summary:

- Annual performance evaluations to include the establishment of goals and objectives should be completed for each staff employee.
- Supervisors should review all performance evaluations prepared by supervisors reporting to him/her PRIOR to the performance appraisal meeting.
- The evaluation period is from June 1st - May 31st.
- Employees in their introductory period are not issued an annual evaluation but will have a six month introductory review completed at the appropriate time.
- Goal planning should be conducted with all employees.
STEPS TO AN EFFECTIVE PERFORMANCE EVALUATION

- Preparation
- Completing the Performance Evaluation paperwork
- Conducting the Performance Evaluation Meeting
- Follow-Up on agreed upon Goals and Objectives
PREPARATION

- The Annual Performance Evaluation should not be viewed by supervisor or employee as a stand-alone, independent process that takes place once a year
- Instead, the Annual Performance Evaluation should be a culmination of both formal and informal feedback that has been ongoing throughout the review period
- Consider introducing the Performance Evaluation Form to all new associates under your supervision as soon as they join your team. Doing so creates an early opportunity to:
  - Clearly communicate the evaluation process and alleviate unnecessary fears
  - Set clear standards for performance in your area and answer any early questions regarding expected performance
PREPARATION

- Additionally, the “Appendix 1: Establishment of Goals/Objectives/Special Assignments for the Coming Year” form contained in the comprehensive evaluation packet may be used as a tool to set goals for a new employee.
- Gather all notes and documentation regarding the employee’s performance throughout the review period.
- Review the prior year’s performance appraisal and note any objectives and/or goals that were set for the current review period.
  - Did the employee meet these goals?
  - If so, to what extent?
- Remember: If an incident (positive or negative) is important enough to document, it’s important enough to share with the employee when it occurs. There should be NO SURPRISES at evaluation time!
COMPLETING THE ANNUAL EMPLOYEE PERFORMANCE EVALUATION FORM

- Check with your administration regarding whether the use of the “comprehensive” or “short” form is appropriate for your area. The instructions in this tutorial reference the “comprehensive” form.

- The Annual Employee Performance Evaluation forms are located online at http://hr.ua.edu/forms/index.htm under the heading “Performance Evaluation Information”.

- Before getting started, remember:
  - Be honest and fair in evaluating all employees
  - Be considerate in your approach
  - Make sure your comments are consistent with the ratings
  - Be realistic
  - Rate the employee’s performance, not the employee’s “attitude”
  - Provide a balanced evaluation of performance throughout the entire review period
  - Conduct the performance evaluation process in a manner that motivates an employee to want to improve
COMPLETING THE ANNUAL EMPLOYEE PERFORMANCE EVALUATION FORM

- The Annual Employee Performance Evaluation Form contains the following sections:
  - Part I     Instructions to Rater
  - Part II    Performance Factors
  - Part III   Behavioral Traits
  - Part IV    Supervisory Factors
  - Part V     Review of Goals/Objectives/Special Assignments for the Past Year
  - Part VI    Overall Performance
  - Part VII   To the Employee
  - Appendix I Establishment of Goals/Objectives/Special Assignments for the Coming Year
PART I – INSTRUCTIONS TO RATER

- Content Summary
  - Employee Information
  - Instructions to Rater
  - Distribution Instructions
  - Marking Instructions
  - Rating Scale Guide

- Tips
  - The Evaluation Period is from June 1st to May 31st
  - Remember that “Unacceptable, Needs Improvement and Superior” ratings require comments and supporting documentation
  - Comments should be on specific, observable behaviors

THE UNIVERSITY OF ALABAMA
ANNUAL EMPLOYEE PERFORMANCE
EVALUATION
Comprehensive Form

EMPLOYEE NAME: [Name]

CVID #: [CVID]

DEPARTMENT: [Department]

JOB TITLE: [Job Title]

PERIOD OF EVALUATION: From: [Start Date] To: [End Date]

PART I - INSTRUCTIONS TO RATER

Listed below are five performance factors, seven behavioral traits, and five supervisory factors that are important in the performance of the employee’s job. Performance factors and behavioral traits must be utilized for all employees. The supervisory factors should be utilized only for employees with supervisory responsibilities. NOTE: A rating of Unacceptable (1), Needs Improvement (2) or Superior (5) requires comments. The overall performance evaluation should reflect the employee’s total performance, including the performance factors as related to the employee’s responsibilities and duties as set forth in the job description, behavioral traits and supervisory factors, if applicable.

**DISTRIBUTION INSTRUCTIONS**

1. Return the original form to Human Resources: 300 Rise Administration Building #810/826.
2. Maintain one copy for your departmental records.
3. Distribute one copy to the employee.

**MARKING INSTRUCTIONS**

The following rating scale guide is being provided to assist the evaluator in assigning the most appropriate measurement of the employee’s performance factors, behavioral traits and supervisory factors.

1 = Unacceptable - Consistently fails to meet job requirements; performance clearly below minimum requirements. Immediate improvement is required to maintain employment.
2 = Needs Improvement - Consistently fails to meet job requirements; performance must improve to meet expectations of position.
3 = Meets Expectations - Adeptly meets job requirements; Normal guidance and supervision are required.
4 = Exceeds Expectations - Frequent exceeds job requirements; all planned objectives were achieved above the established standards and accomplishments were made in unexpected areas as well.
5 = Superior - Consistently exceeds job requirements; this is the highest level of performance that can be obtained.
PART II – PERFORMANCE FACTORS

- Content Summary
  - Knowledge, Skills, Abilities
  - Quality of Work
  - Quantity of Work
  - Work Habits
  - Communication

- Tip
  - Don’t forget to tie your employee’s work efforts to the goals of the department

- Example Comment
  - Quantity of Work (Exceeds Expectations)
    - “You did an exceptional job of simultaneously managing the X, Y and Z initiatives this year. The expectation was for you to complete two of the projects this year. The fact that you completed all three ahead of schedule positively impacted our customers and was an excellent reflection on you and our department.”
**PART III – BEHAVIORAL TRAITS**

- **Content Summary**
  - Dependability
  - Cooperation
  - Initiative
  - Adaptability
  - Judgment
  - Attendance
  - Punctuality

- **Tip**
  Behavioral trait comments should not be broad generalizations about an individual’s character. They should be based on specific actions and how these actions either positively or negatively impact performance.

- **Example Comment**
  Cooperation (Needs Improvement)
  “You are our most experienced employee. However, on 3 occasions this year we have had documented conversations regarding your unwillingness to work with newer, less experienced employees. Instead of sharing your knowledge in a way that would benefit the entire department, your actions hindered the timely completion of 3 projects.”

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<table>
<thead>
<tr>
<th>1. Dependability</th>
<th>Content: Consider the amount of time spent directing this employee. Does the employee monitor projects and work within timelines? Are they on time for meetings and appointments? Do you feel comfortable having this employee work independently?</th>
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<tbody>
<tr>
<td>Comments:</td>
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<tr>
<th>2. Cooperation</th>
<th>Content: How well does the employee work with co-workers and supervisors as a contributing team member? Does the employee demonstrate consideration of others, maintain rapport with others, help others willing?</th>
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<td>Comments:</td>
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<tr>
<th>3. Initiative</th>
<th>Content: How well does this employee seek and assumes greater responsibility, monitors projects independently, and follows through appropriately?</th>
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<td>Comments:</td>
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<tr>
<th>4. Adaptability</th>
<th>Content: Consider the ease with which the employee adjusts to any change in duties, procedures, supervisors or work environment. How well does the employee accept new ideas and approaches to work, respond appropriately to constructive criticism and to suggestions for work improvements?</th>
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<td>Comments:</td>
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<th>5. Judgment</th>
<th>Content: Consider how well the employee effectively analyzes problems, determines appropriate action for solutions, and exhibits timely and decisive action; thinks logically;</th>
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<td>Comments:</td>
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PART IV – SUPERVISORY FACTORS

- **Content Summary**
  - Leadership
  - Delegation
  - Planning and Organizing
  - Administration
  - Personnel Management

- **Tip**

  Prior to conducting a supervisor’s evaluation, consider reviewing the appraisals they’ve completed for their employees. Doing so will make your evaluation of their supervisory skills much easier and more effective.

- **Example Comment**

  Personnel Management (Superior)

  “Two of your direct reports have been promoted to areas outside of your department and both cite the individual development plans you created and your commitment to their growth as the reason for their success. Additionally, your cross-training program allowed the department to continue to perform at an exceptional level despite the loss of two key players. Excellent job!”

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### PART IV - SUPERVISORY FACTORS (IF APPLICABLE)

1. **Leadership** - Consider how well the employee demonstrates effective supervisory abilities, role model and mentorship, inspires and motivates subordinates, directs work groups toward common goal.
   - Unsatisfactory
   - Satisfactory
   - ALA

   Comments:

2. **Delegation** - How well does the employee demonstrate the ability to direct others in accomplishing work, effectively select and motivate staff, define assignments, exercise the work of subordinates.
   - Unsatisfactory
   - Satisfactory
   - ALA

   Comments:

3. **Planning and Organizing** - Consider how well the employee plans and organizes work, coordinates with others, establishes appropriate priorities, anticipates future needs, carries out assignments to meet work requirements.
   - Unsatisfactory
   - Satisfactory
   - ALA

   Comments:

4. **Administration** - How well does the employee perform day-to-day administrative tasks, manage time, administer policies and implement procedures, maintain appropriate contact with superiors and subordinates, staff or employees?
   - Unsatisfactory
   - Satisfactory
   - ALA

   Comments:

5. **Personnel Management** - Consider how well the employee serves as a role model, provides guidance and opportunities to their staff for their development and advancement, resolves work-related employee problems, promotes subordinates in accomplishing their work-related objectives. Does the employee communicate well with subordinates in a clear, concise, accurate, and timely manner and make useful suggestions?
   - Unsatisfactory
   - Satisfactory
   - ALA

   Comments:
PART V – REVIEW OF PAST YEAR GOALS / OBJECTIVES...

Tips

- Communicate the impact that the completion (or non-completion) of agreed upon goals has had on the department’s goals
- Provide feedback and coach performance shortcomings
- Follow-up on progress with periodic reviews
- While not mandatory, don’t miss the opportunity to recognize and praise completed goals in the comments column
PART VI – OVERALL PERFORMANCE
& PART VII-EMPLOYEE COMMENTS

Tips

- Remember, **your immediate supervisor should sign the “Reviewer” line prior to your conducting the performance appraisal meeting**

- The Overall Performance rating should reflect performance for the entire review period. Be careful not to consider only recent performance. Good notes and documentation throughout the review period are invaluable.

- If you have an employee who receives an “unacceptable” or “needs improvement” evaluation, consider partnering with your Human Resources department for additional performance improvement tools.
APPENDIX 1 – ESTABLISHMENT OF GOALS/OBJECTIVES...

- **Tips**
  - Consider conducting a goal setting meeting at the beginning of the review period, but independent of the annual evaluation meeting.
  - Use the S.M.A.R.T approach when creating goals/objectives:
    - Specific
    - Measurable
    - Attainable
    - Realistic
    - Time Driven
  - Relate the goals to the employee’s job function and the overall goals of the department.
  - Follow-up on progress with periodic review.
  - Coach the employee as needed.
PREPARING FOR THE ANNUAL EMPLOYEE PERFORMANCE EVALUATION MEETING

- Review the completed employee performance evaluation form for completeness and accuracy
- Have your immediate supervisor review the form and provide additional input before he/she signs the final copy
- Select an evaluation meeting time and location free of interruptions or environmental distractions
- Provide your employee with significant advance notice of the meeting time and location
- Gather copies of relevant information to take to the evaluation meeting
  - Prior year’s review
  - Current year’s review
  - Documented performance issues
  - Documented recognition & accomplishments
  - Notes
CONDUCTING THE ANNUAL EMPLOYEE PERFORMANCE EVALUATION MEETING

- Start the meeting by letting the employee know that they are critical to the success of your team and remind them how their individual performance impacts overall department objectives.

- Provide the employee a copy of the performance evaluation and review individual ratings and comments as well as Goals/Objectives/Special Assignments for the Past Year being sure to:
  - Note individual areas of progress or decline vs. the prior year’s evaluation
  - Recognize and praise accomplishments
  - Identify areas in need of improvement
  - State potential consequences for continued substandard performance
CONDUCTING THE ANNUAL EMPLOYEE PERFORMANCE EVALUATION MEETING

- Allow the employee the opportunity to comment on the performance evaluation ratings & comments and be sure to address areas of disagreement
- Have the employee sign the completed evaluation form and make comments if he/she wishes to do so
- Set up a meeting to discuss and establish Goals/Objectives/Special Assignments for the coming year
- Thank the employee for their efforts

*Remember:* After completing the performance evaluation meeting, follow the distribution instructions on the first page of the Annual Employee Performance Evaluation form
ADDITIONAL PERFORMANCE EVALUATION RESOURCES

- Human Resources Partners
- Individual Consultation
- Training
- HR Employee Relations Consultants
- Individual Consultation
- Training
- Human Resources Development
- Classroom Training
- Self Guided Training
- Books
- Online Resources
- Human Resources Website