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# Performance Evaluation Process

## Manager and Supervisor Training

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## TOPICS INCLUDE:

### Performance Evaluation

- Suggestions for Completing Reviews
- The Process
- Do's and Don'ts



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# Suggestions for Supervisors When Completing the Performance Appraisal Process

# Confidentiality

All supervisors are reminded that the performance evaluation process and the ratings assigned to the performance of specific employees should be kept confidential and be discussed only with the employee, your supervisor, or Human Resources. Please respect the privacy of your staff and do not share this information.

# Documenting Performance

It would be helpful for the annual review to have kept a performance log during the year to document performance with specific dated entries, kudos for a job well done, keeping a tickler of events, or sending an email about the performance. If you are using any of these methods, make sure they meet the criteria in the following checklist for Documenting Performance.



# Documenting Performance

- It contains concrete and specific details – dates, times, places, names, numbers, etc.
- It is accurate and does not exaggerate.
- It does not contain slurs or other inappropriate or derogatory terms.
- It does not contain language that could be construed as discriminatory or biased.
- It does not focus on personality issues.



# Documenting Performance

- It focuses on behavior, performance, conduct and productivity.
- It is complete.
- It contains job-related incidents only. It does not include entries about the employee's personal life or aspects of the employee that have nothing to do with the job.



# Performance Objective

When you write up a performance objective – be it a job requirement or a goal – make sure it meets these criteria:

- It is specific, not general.
- It describes what the employee should do, not who the employee should be.
- It contains concrete details.
- It uses active verbs, not passive verbs.

# Performance Objective

- If the requirement or goal is measurable, it describes how it will be measured.
- If appropriate, it gives a deadline for completion.
- Unless it is obvious, the objective describes how it relates to the job.



# Performance Goals

When identifying performance goals, make sure each one meets the following criteria:

- It is consistent with company goals.
- It is reasonable and realistic.
- It is challenging but within the employee's reach.
- It is specific.
- It is related to the employee's job.



# Performance Goals

- It is measurable or, if it cannot be measured, it is especially specific.
- If necessary, it has an action plan attached.
- It does not try to change the employee's personality.
- It is not based on assumptions or stereotypes.
- It does not promise the employee something now or in the future.

# Assessing Performance

Consider the following questions when assessing performance:

- Has the employee met this requirement or goal?
- Why or why not?
- How do I know this?
- What is the supporting evidence?



# Assessing Performance

- What was the impact on the department? On the company?
- How can the employee do better?
- How can I do a better job of supporting the employee?
- How can the company do a better job of supporting the employee?

# Reasons for Poor Performance

- Did I give the employee adequate training?
- Does the employee have the skills necessary for the job?
- Does the employee understand what I expect?
- Have I provided the employee with adequate tools and resources?
- Are there any rules or systems in place that make it difficult for the employee to perform well?



# Reasons for Poor Performance

- Has anything changed in the employee's work situation?
- Has anything happened in the employee's personal life that could be affecting his or her work?
- Has the employee developed a substance abuse or mental health problem?



# Common Performance Appraisal Errors

After you have drawn conclusions about an employee's performance, ask yourself the following questions. If you can answer "yes" to any of them, then you may have committed a common appraisal error, and you must rethink your conclusions.



# Common Performance Appraisal Errors

- Have I rated the employee more highly than he or she deserves?
- Did I unfairly blame the employee for bad events or unfairly take credit (or give credit to someone else) for good events?
- Did I allow my first impressions to color what the employee did during this appraisal period?



# Common Performance Appraisal Errors

- Did I allow one aspect of the employee's performance to dominate?
- Did I judge the employee more favorably because of our similarities?
- Did I judge the employee less favorably because of our differences?
- Did I gravitate to the middle to make this evaluation easier on myself?



# Common Performance Appraisal Errors

- Did I ignore anything exceptionally good or bad about the employee's performance?
- Did I unfairly paint the employee as being either all good or all bad?
- Did I place too much weight on recent events?



# Common Performance Appraisal Errors

- Have I made assumptions about or stereotyped the employee?
- Have I accurately described the employee's performance without fear of making the employee mad or hurting the employee's feelings?





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# The Performance Appraisal Process

# Performance Appraisal Process

## **Prepare**

Prepare all materials, notes, agreed tasks and records of performance, achievements, incidents, reports, etc. – anything pertaining to performance and achievement.

Obviously, include the previous performance appraisal documents and a current job description.



# Performance Appraisal Process

## **Prepare**

Organize your paperwork to reflect the order of the appraisal and write down the sequence of items to be covered.

Ensure the self-assessment is passed to the employee suitably in advance of the appraisal with relevant guidance for completion.

# Performance Appraisal Process

## **Prepare**

Part of your preparation should also consider “whole-person” development – beyond and outside of the job skill-set – as might inspire and appeal to the employees. Many people are not particularly interested in job skills training, but will be very interested, stimulated and motivated by other learning and development experiences.



# Performance Appraisal Process

## **Prepare**

Get to know what your people are good at outside of their work. People's natural talents and passions often contain significant overlaps with the attributes, behaviors and maturity that are required and valued in the workplace. Use your imagination in identifying these opportunities to encourage "whole-person" development and you will find appraisals can become very positive and enjoyable activities.



# Performance Appraisal Process

## **Prepare**

Appraisals are not just about job performance and job skills training.

Appraisals should focus on helping the “whole person” to grow and attain fulfillment.

# Performance Appraisal Process

## **Inform**

Ensure the employee is informed of a suitable time and place (change it if necessary), and clarify purpose and type of appraisal.

# Performance Appraisal Process

## **Venue**

Ensure a suitable venue is planned and available – private and free from interruptions.

Observe the same rules as with recruitment interviewing – avoid hotel lobbies, public lounges, canteens.

Privacy is absolutely essential.

# Performance Appraisal Process

## **Layout**

Room layout and seating are important elements to prepare. Don't simply accept whatever layout happens to exist in a borrowed or hired room.

Layout has a huge influence on atmosphere and mood. Irrespective of content, the atmosphere and mood must be relaxed and informal.

# Performance Appraisal Process

## **Layout**

Remove barriers. Don't sit in the boss's chair with the employee positioned humbly on the other side of the desk. You must create a relaxed situation, preferably at a meeting table or in easy chairs. Sit at an angle to each other – 90 degrees ideally – and avoid face-to-face as it is confrontational.



# Performance Appraisal Process

## Introduction

Open with a positive statement, smile, be warm and friendly. Relax the employee, who may well be terrified. It is your responsibility to create a calm and non-threatening atmosphere.

Set the scene. Simply explain what will happen. Encourage a discussion and as much input as possible from the employee. Tell them it's their meeting, not yours.

# Performance Appraisal Process

## **Introduction**

Confirm the timings, especially finishing time.

If helpful and appropriate, begin with some general discussion about how things have been going, but avoid getting into specifics which are covered later (and you can say so).

Ask if there are additional points to cover, take note and include them when appropriate.

# Performance Appraisal Process

## **Review and Measure**

Review the activities, tasks, objectives and achievements one by one, keeping to distinct separate items one by one. Avoid going off on tangents or vague unspecific views. If you have done your preparation correctly you will have an order to follow.

If something off-subject comes up, take note and return to it later.



# Performance Appraisal Process

## **Review and Measure**

Concentrate on hard facts and figures, solid evidence. Avoid conjecture, anecdotal or non-specific opinions, especially about the employee. Being objective is one of the greatest challenges for the appraiser. As with interviewing, resist judging the employee in your own image, according to your own style and approach.

# Performance Appraisal Process

## **Review and Measure**

Facts and figures are the acid test and provide a good neutral basis for the discussion, free of bias and personal views.

If a point of dispute arises, you must get the facts straightened out before making an important decision or judgment, and, if necessary, defer to a later date.

# Performance Appraisal Process

## **Agree to an Action Plan**

An overall plan should be agreed upon with the employee.

The plan should take account of the job responsibilities, the employee's career aspirations, the departmental and whole organization's priorities, and the reviewed strengths and weaknesses.



# Performance Appraisal Process

## **Agree to an Action Plan**

The plan can be staged, if necessary, with short, medium and long term aspects.

Most importantly, it must be mutually agreed upon and realistic.



# Performance Appraisal Process

## **Agree to Specific Objectives**

These are the specific actions and targets that together form the action plan.

As with any delegated task or agreed objective, these must adhere to the SMARTER rules:

**Specific, Measurable, Agreed, Realistic,  
Time-bound, Enjoyable, Recorded**

If they do not, don't bother.

# Performance Appraisal Process

## **Agree to Specific Objectives**

The objectives can be anything that will benefit the individual, and that the person is happy to commit to.

When helping people to develop, you are not restricted to job-related objectives, although typically most objectives will be.

# Performance Appraisal Process

## **Agree to Necessary Support**

This is the support required for the employee to achieve the objectives. It can include training of various sorts – external courses and seminars, internal courses, coaching, mentoring, shadowing, distance-learning, reading, watching videos, attending meetings and workshops, workbooks, manuals and guides – anything relevant and helpful that will aid development toward the objective.



# Performance Appraisal Process

## **Agree to Necessary Support**

Also consider training and development that relates to “whole-person development” outside of job skills. This might be a hobby or a talent that the person wants to develop.

Developing the whole person in this way will bring benefits to their role, and will increase motivation and loyalty.

# Performance Appraisal Process

## **Agree to Necessary Support**

Be careful to avoid committing to training expenditures before suitable approval, permission or availability has been confirmed. If necessary, discuss likely training requirements with the relevant authority before the appraisal. Raising false hopes is not helpful to the process.



# Performance Appraisal Process

## **Invite Any Other Points or Questions**

Make sure you capture any other concerns.

# Performance Appraisal Process

## **Close Positively**

Thank the employee for their contribution to the meeting and their effort through the year. Commit to helping in any way you can.

# Performance Appraisal Process

## **Record Main Points, Agreed Actions, and Follow-up**

Swiftly follow-up the meeting with all necessary copies and confirmations, and ensure documents are filed and copied to relevant departments.



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Do's and Don'ts  
For Conducting the  
Performance Review Sessions

# Conducting the Performance Review Sessions

## DO

- Use language that will be clearly understood by the employee.
- Focus on the performance, not the person.
- Consider the employee's performance to date as well as his or her longer "track record" over the past year.



# Conducting the Performance Review Sessions

## **DO**

- Use specific, descriptive examples to support your feedback.
- Avoid absolutes such as always or never.

# Conducting the Performance Review Sessions

## **DO**

- Discuss how the feedback relates to ongoing work on goals.
- Summarize the meeting and ask the employee to summarize what he or she heard as well.



# Conducting the Performance Review Sessions

## DO

- Focus on the future. If managers stay focused on what should happen in the future, the employee can feel more fulfilled in his job. Plus, looking forward tends to minimize employee defensiveness about any past mistakes. People are much less likely to be argumentative this way.



# Conducting the Performance Review Sessions

## DO

- Be careful what you write. A performance evaluation is an important document that can, and often is, used as evidence in employment-related grievances or legal proceedings. It is important that you include only relevant performance-related objective information.



# Conducting the Performance Review Sessions

## DON'T

- Include humorous anecdotes, personal information or judgmental statements. Above all, avoid offensive or discriminatory language. Do not omit information because it may be uncomfortable to discuss or potentially contentious.



# Conducting the Performance Review Sessions

## **DON'T**

- Conduct the meeting without adequate preparation time.
- Hold a superficial discussion.
- Discuss personality traits and attitudes. Instead, focus on observed behaviors. Take care to avoid isolated incidents reported by others, and possible scapegoating.



# Conducting the Performance Review Sessions

## **DON'T**

- Dwell on isolated incidents.
- Dwell on weaknesses, faults or shortcomings.
- Compare the employee with another or with oneself.
- Use the session to discipline an employee, unless all coaching options have been tried.



# Conducting the Performance Review Sessions

## **DON'T**

- Repeat constructive criticism in an attempt to soften it. Say it once and wait for a response. Listen!
- Provide excuses for bad news. State your observation and allow the employee to respond.



# Conducting the Performance Review Sessions

## **DON'T**

- Avoid telling the truth for fear of disagreement over an on-going performance problem.
- Avoid conflict if it may be necessary to draw out key issues in performance expectations and coaching.



# Conducting the Performance Review Sessions

## **DON'T**

- Wait until the end of the meeting to inform an employee of their merit increase. Communicating merit increase information about midway through the meeting helps ease tensions and create a more collaborative atmosphere for open communication.

# Conducting the Performance Review Sessions

## **DON'T**

If you hold merit increase information until the end as some sort of grand finale, the employee is less engaged and just wants to “get it over with” to find out how much of a raise they are getting. Always let the employee know the date their new pay rate will be effective.



# Conducting the Performance Review Sessions

## **DON'T**

If the rating warrants a low or no increase, build your case to point out unsatisfactory performance and justify the decision.

# Conducting the Performance Review Sessions

## **DON'T**

- Debate. Keep control of the meeting and reign in discussion. As the manager, you have the final word and if you have been fair in your assessment you must stand by your rating.

# Conducting the Performance Review Sessions

## **DON'T**

If the employee presents new information, thank them for bringing it to your attention, request documentation, and inform him/her that you will consider this information and, if warranted, make an adjustment.

Do not commit to making any adjustments to the evaluation rating.



# Conducting the Performance Review Sessions

## **DON'T**

- Do the majority of the talking. The best way to receive no productive feedback from an employee is to read the evaluation word for word. You want to ask questions, encourage discussion, and get the employee talking.



# Questions?

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