

# *Appraising People and Performance*

## **Introduction**

If you ask people what they look for from their jobs they will tell you they want challenge, an opportunity to grow, greater responsibility, interesting work, full appreciation of work done, and to be involved in things. The manager who recognizes this and maintains an ongoing performance management dialogue with each employee is making use of one of the strongest tools available for developing the human resource. The manager who does not give regular feedback to employees, however, is missing a great opportunity.

This workshop will teach you the concepts and skills needed to conduct meaningful performance-appraisal meetings with employees. This is a vital part of a systematic effort to develop employees through performance management.

## **Objectives**

By the end of this workshop, you will be able to...

- Analyze an employee's performance
- Develop strategies for responding to difficult appraisal situations
- Plan and conduct an appraisal meeting

## **Workbook Contents**

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## Exercise 1: My Experience with Appraisals

**Instructions:** Think about a performance appraisal you participated in, either one you gave to an employee or one you received. Answer the following questions about that specific experience. You will not be required to share this information with others.

**1. What went well during the appraisal meeting?**

**2. What did not go well?**

**3. How did you feel about that meeting?**

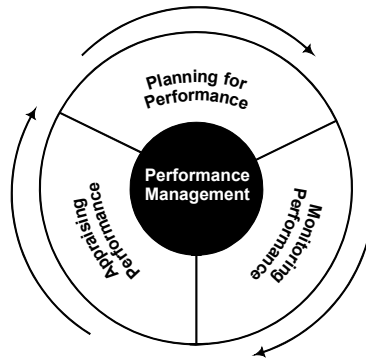
# Worksheet: Benefits of Appraisals

**Instructions:** Work with your group to list all the benefits of performance appraisals you can think of for each category: manager, employee, organization. Consider long-term as well as short-term benefits.

<b>Benefits for the Manager</b>
<b>Benefits for the Employee</b>
<b>Benefits for the Organization</b>

# The Performance Management Cycle

Performance Management can be divided into three separate and distinct phases. Each is important if the employee's performance is to be improved, optimized, and maintained.



## Phase 1: Planning for Performance

- Clarify and communicate performance expectations.
- Focus on important performance areas with the employee.
- Develop performance standards that are measurable and meaningful.

## Phase 2: Monitoring Performance

- Communicate regularly so that there are no surprises.
- Provide assistance/support to employees, as needed.
- Document performance accurately, objectively, and continuously.

## Phase 3: Appraising Performance

### ***Step 1: Preparing the Appraisal***

The manager prepares the employee by...

- Setting a time and location for the meeting and notifying the employee.
- Asking the employee to assess his or her own performance and then be prepared to discuss it.
- Giving the employee sufficient time to prepare.

The manager prepares himself or herself by...

- Gathering information.
- Evaluating the performance.
- Analyzing performance problems.
- Documenting the performance.

### ***Step 2: Conducting the Appraisal***

- Beginning the meeting.
- Holding the discussion.
- Closing the meeting.
- Following up the meeting.



## Tips for Giving Feedback

- Feedback describes how the employee is performing. It focuses on knowledge, skills, and abilities as applied to the job. It does not describe the person.
- When giving feedback, provide a balanced picture of performance. Go over the positive areas, as well as the areas that need to change. Give positive feedback first, followed by constructive feedback.
- Be descriptive, specific, and factual about the employee's performance. Give examples. Make sure the employee understands all that is being said.
- Provide guidance on how the employee should be performing in the future, so that he or she knows what to do "next time."
- Give feedback as close to the time of the performance as possible so that it is meaningful and can be integrated into future performance as soon as possible.
- Select the best time and place to give feedback. Find a private place to talk, and give your feedback in an unhurried manner.
- When giving corrective feedback, anticipate and prepare for the employee's response. Remember to keep your emotions in check; do not respond to any strong reaction with a strong reaction of your own.
- Listen without interrupting. Give the individual your undivided attention. This will let the employee know that you are listening and will probably calm him or her down. Then, redirect the employee's energies to the problem at hand.
- Sometimes employees react with silence. To overcome this, try to get the individual to describe the process or steps he or she is taking to perform the job/task. Then, ask how well the employee thinks he or she is performing. Employees are usually comfortable talking about the process or steps they are taking to complete a job. Once they start talking, they will be more willing to discuss their performance. *"Tell me how you are completing this report."*

# Self-Assessment Worksheet

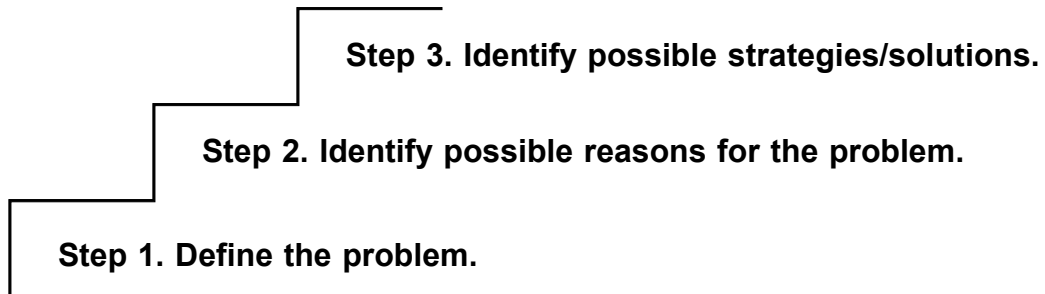
**Instructions:** Use this worksheet to prepare yourself for your appraisal meeting. Think about your performance, your progress, and your plans for future development.

1. What were my performance goals and standards for this appraisal period?
2. What were my specific accomplishments during this appraisal period?
3. What special projects, committees, and/or assignments did I undertake?
4. Which goals did I fall short of meeting, if any?
5. What skills did I demonstrate strength in?
6. What skills do I need to develop?
7. Do I need more experience or training in any aspect of my current job? How can it be accomplished?
8. What changes can I make that will improve my performance?



## Exercise 2: Analyzing Performance Problems

There are three steps to analyzing performance problems:



**Instructions:** Think about one of your employees who is not performing to your expectations. Use the following worksheets to work through the three-step process to analyze the problem and identify possible solutions.

## Exercise 2: Analyzing Performance Problems (continued)

### Step 1: Define the Problem

**Instructions:** Identify and list here the indicators of the performance problem. A good performance indicator is specific, objective, and measurable, and affects performance.

**Indicators:**

**Instructions:** Establish the current and expected levels of performance: how well the person is doing, versus how well the person should be doing in his or her job.

**Performance Levels:**

*Current Level:*

*Expected Level:*

**Instructions:** Estimate the impact on the organization in terms of tangibles (like time and/or money) and intangibles (like customer dissatisfaction). *Impact* illustrates the importance of correcting the problem.

**Impact:**

## Exercise 2: Analyzing Performance Problems (continued)

### Step 2: Identify the Reasons for the Problem

**Instructions:** Answer the questions appearing in the matrix below to identify possible reasons for the performance problem in your situation. Record your answers directly in the matrix.

	Information	Resources	Motivation
ENVIRONMENT	<p><b>1. Expectations and Feedback</b></p> <p>Does the employee know what is expected?</p> <p>Has the employee received feedback?</p>	<p><b>2. Resources and Tools</b></p> <p>Does the employee have the necessary resources and tools?</p>	<p><b>3. Incentives</b></p> <p>Are there appropriate incentives for the employee to want to perform well?</p> <p>Are there negative consequences when the employee performs poorly?</p>
PERSON	<p><b>4. Skills and Knowledge</b></p> <p>Does the employee have adequate skills and knowledge to do the job?</p>	<p><b>5. Capacity</b></p> <p>Could the employee learn to do the task if his or her job depended on it?</p>	<p><b>6. Motives</b></p> <p>Does the employee care about the job and the incentives?</p>