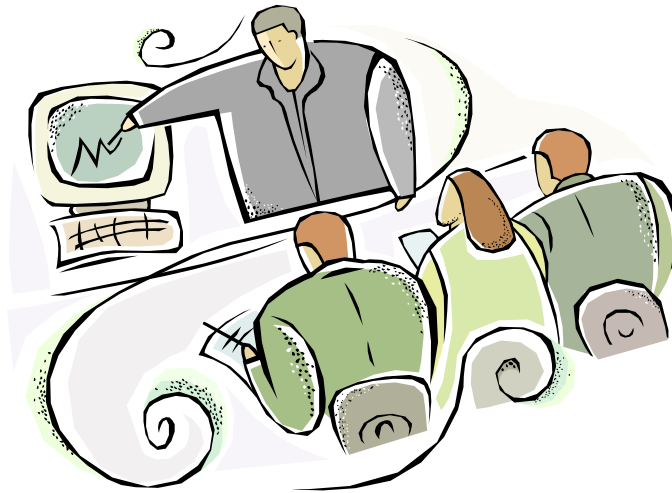


Lake Sumter

COMMUNITY COLLEGE



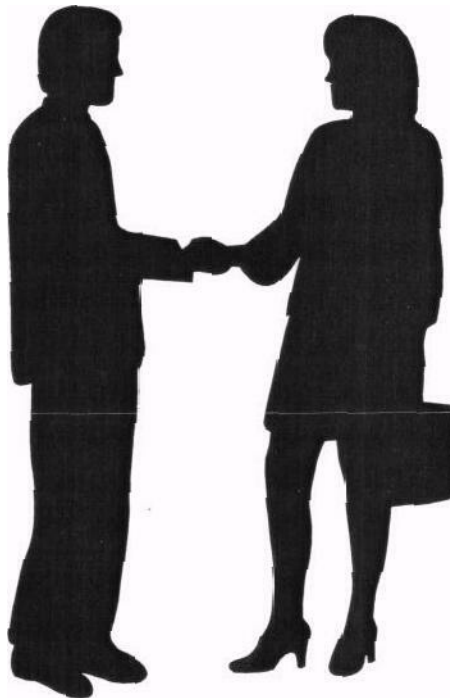
SUPERVISOR'S PERFORMANCE REVIEW PROCESS HANDBOOK

INTRODUCTION LSCC PERFORMANCE REVIEW SYSTEM

With an emphasis on the college's strategic priority on all aspects of human resource management, a carefully planned system for appraising the job performance of faculty and staff becomes a critical and essential part of our human resource programs. In addition, the process of conducting performance appraisals is an important leadership and team function supporting Lake-Sumter Community College's success as defined by its Strategic and Annual Plan.

This document is intended to provide information for employees and supervisors about the performance review cycle and process. Also as appropriate to each group, employees or supervisors, this document covers information for conducting performance reviews that are timely, meaningful, legal and effective for all full-time and part-time faculty and staff.

If you have any questions regarding the information contained in this document or need any assistance, please contact Human Resources.



PERFORMANCE APPRAISAL AS A LEADERSHIP OPPORTUNITY

For a supervisor, effective and meaningful performance appraisals take considerable thought, preparation and time. However, if done properly, the performance appraisal process is one of the best opportunities for supervisors to display leadership skills in assisting employees to reach their full work potential. As a supervisor, the manner in which you assess an employee's performance can make a difference in the employee's overall job performance, motivation, morale and career development. During the performance appraisal process you have the opportunity not only to reflect on an employee's past performance, but also to work with the employee in planning for his/her future at the college. You will be able to recognize an employee's accomplishments and give candid feedback about areas that need improvement and establish performance improvement plans. By taking a leadership role in the appraisal process, supervisors can make a significant contribution to a high level of work performance of faculty and staff at the college.

THE LEGAL REQUIREMENTS OF PERFORMANCE REVIEWS

To avoid costly legal ramifications, performance appraisals must be administered accurately and fairly. To accomplish this, the evaluator must:

- Have actual knowledge of the employee's performance, which must be acquired over a reasonable amount of time, and
- Explain the ratings and standards to the employee.
- Objectively and specifically assess the performance of the employee, using specific examples, avoiding generalizations. Point out specifically in which areas of performance the employee did well and where he/she needs to improve.
- Focus on job performance and not the person; avoid letting personal friendship, dislike, or any personal bias against an employee affect the assessment of performance.
- Be clear, direct, and honest; do not be afraid to give poor ratings when they can be substantiated with specific examples.
- Be sure the performance appraisal is free from bias of race, color, sex, religion, nationality, age, and/or disability, or any other personal bias.
- Do not let the rating of an employee's performance in one area spill over into another; judge each area separately.
- Do not prepare the performance appraisal as a last minute attempt to justify a termination if there is little or no earlier documentation of performance problems. Throughout the year you need to appropriately document incidences of poor performance, absenteeism, etc., and place copies of this documentation in the employee's personnel file.

The necessity of conducting fair, accurate and timely performance appraisals cannot be overstated. Performance appraisals, which do not follow the above guidelines, serve neither the employee nor the college and could create a legal liability for the college with the EEOC, in a court of law, etc.

SPECIFIC PURPOSES OF PERFORMANCE APPRAISALS

A carefully planned performance appraisal system serves many purposes that benefit both the college and the employee. Specifically, the performance appraisal should:

- Serve as an instrument for the supervisor to give feedback to the employee on work performance.
- Serve as an instrument to allow the employee to evaluate his/her own work performance.
- Serve as an aid in improving communication regarding work performance and expectations between the employee and the supervisor.
- Serve as an instrument for the supervisor and employee to establish specific goals and objectives.
- Serve as a motivation for improved employee performance.
- Serve as an aid in identifying professional development/training needs.
- Serve as a source of information for applicable administrative decisions, such as promotion and continued employment.
- Serve as a source of documentation impacting legal decisions involving external agencies, such as the EEOC, court, etc.

Because the impact of any one of these listed purposes can have a major effect on the work performance and morale of employees, as well as significant liability for the college, the necessity of conducting meaningful, effective and legal performance appraisals can not be overstated.

PERFORMANCE REVIEW AS AN ON-GOING PROCESS

Although this training/information focuses on the "formal" performance appraisal, the actual process of appraising performance should be part of day-to-day communication between the supervisor and the employee. Long before any formal performance appraisal takes place, the supervisor and the employee should discuss job duties and/or performance objectives and the performance standards/expectations required. On an on-going basis, the supervisor and the employee should discuss the employee's performance against these established job duties and/or objectives and standards. Throughout the year, the supervisor should point out specifically in which areas the employee is performing well and in which areas the employee needs to improve. Reinforcing and recognizing good job performance makes employees feel good about their work accomplishments and enhances motivation. It is also important for employees to receive on-going feedback about performance areas needing improvement so that an employee is aware of the problems and can work toward, correcting them. By providing on-going feedback, there should be no "surprises" for the employee during the formal performance appraisal. Surprises often cause employees to have hard feelings, which may result in low employee morale, grievances, etc.

Overview of LSCC Performance Review Forms & Processes

The current performance review processes and forms have been designed through appropriate faculty and staff committees and endorsed by the President's Cabinet. Because all jobs or positions are not alike specific processes and forms have been established to best meet the needs of the following employee groups: Faculty, Administrator, Managerial, Professional Administrative, Professional Crafts & Trades, and Professional Technical employees. Performance reviews or evaluations are specifically governed by Rule 5.16 and Procedure 5-05.

Significant Points

All performance reviews require employees to self-evaluate and submit such to their respective supervisors. Supervisors are to consider the employee's self-evaluation information. This action will enable the development of a more accurate, collaborative, and finalized performance review. Performance reviews/evaluations are signed-off by the next higher level above the originating supervisor before the supervisor conducts the performance review discussion with the employee.

Faculty evaluations have an overall evaluation rating of satisfactory or unsatisfactory as a composite rating for all sections of the evaluation.

Although Professional Administrative, Professional Crafts & Trades, Professional Technical and Managerial performance review forms do not have an overall performance as a total composite for all sections of the review, it does contain a composite rating for section one, Duties and Goals. Ratings exist for each dimension (duty, job factor or competency) but do not roll up to a final score/rating. This design enables more attention to be placed upon the dimensions and their supporting specific documentation/examples. This attention is necessary to more successfully shape or reshape an employee's behavior. And of course the purpose of performance reviews is to recognize effective behavior and move to change ineffective behavior.

The Administrative Performance Review form has an overall or final performance rating. The overall rating is necessary to support the strategic intent to move toward "pay for performance." Also fundamentally different from the other review processes is that administrators are reviewed on their yearly accomplishment of specific business goals and objectives as linked to College initiatives. Importantly, the Administrator Performance review process includes a required and formal six (6) month/interim performance review. This action permits critical communication, calibration and adaptation of the employee's goals/objectives to ensure they are still critical to the College's business plan. Also, the employees will receive specific feedback on their current levels of accomplishment.

PERFORMANCE REVIEW PROCESSES & FORMS

Although open communication between a supervisor and an employee about performance should be on-going, supervisors are required on an annual basis to complete written performance reviews on all full-time and regular part-time employees who report to them. These reviews are signed-off by the next higher level above the originating supervisor before the supervisor conducts the performance review discussion with the employee.

Faculty Performance Evaluation Process

Faculty evaluations/performance reviews are completed by the department chairs and deans during January and February of each year. The faculty evaluation form was revised in 2007-8 and includes sections covering instructional observation, instructional load, Faculty Rank & Performance categories, general duties and professional plan.

Professional Administrative, Professional Crafts & Trades, Professional Technical, and Managerial Performance Review Process

Professional Administrative, Professional Crafts & Trades, and Professional Technical and Managerial employees receive their annual performance reviews on their respective service anniversary month.

Administrator Performance Review Process

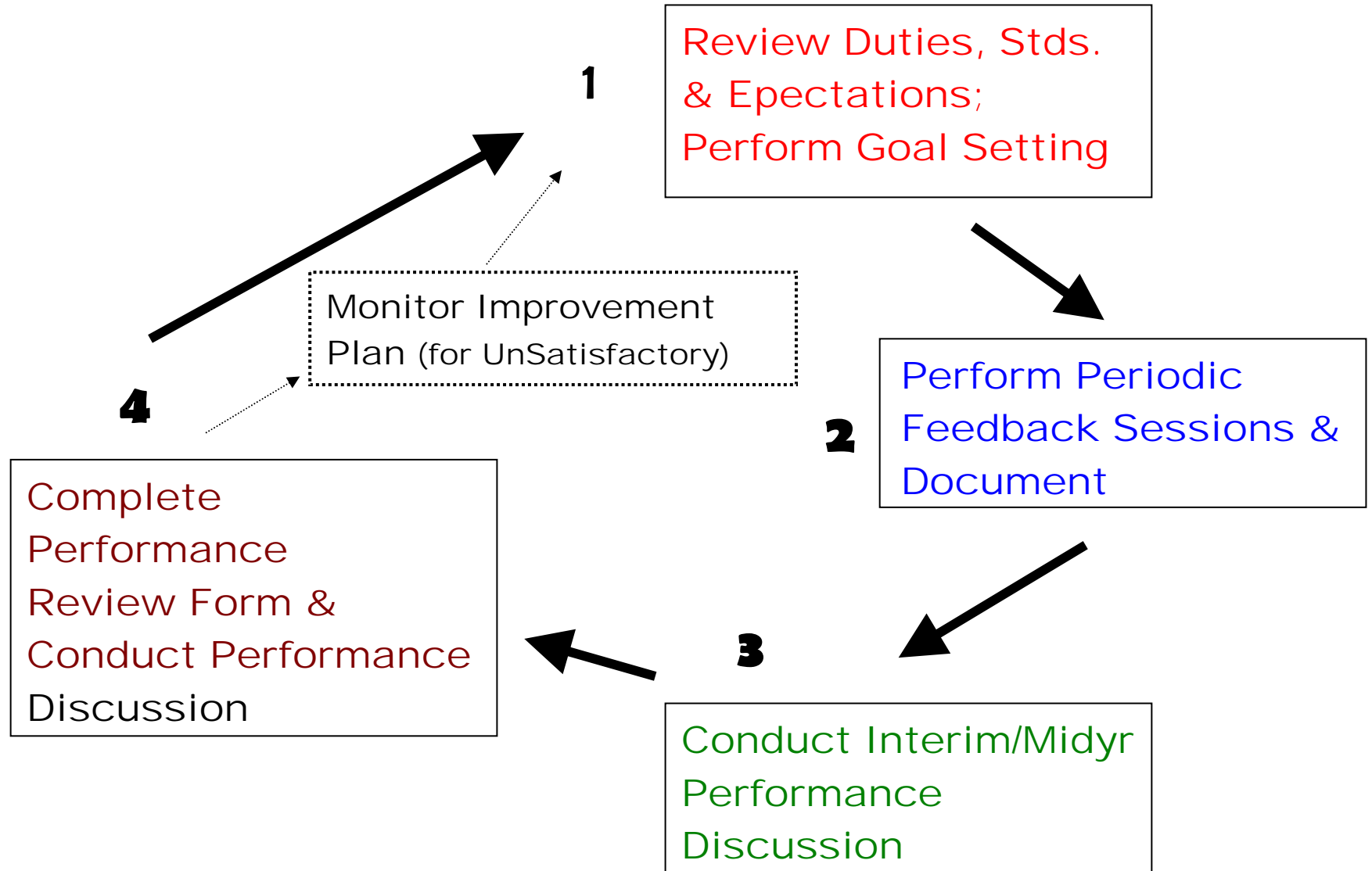
The Administrator Performance Review process aligns with the fiscal year, July through June. The performance process begins in July with the development of performance goals/objectives linked to the division's goals which are linked to the College's Annual Plan (initiatives). In January a casual mid-year performance check is done to ensure that the goals/objectives are sound and appropriate progress is being made. At the end of June the detailed final performance review for that fiscal year is concluded and the cycle begins again with the setting of new goals/objectives for the new fiscal year.

Performance Review Forms

All evaluation or performance review forms and directions may be found from the college web page, specifically off the Human Resources web page at:

As has been the existing policy, all original and signed performance review forms will be filed in HR. Board Rule 5.16 and Procedure 5-05 cover pertinent details about LSCC performance reviews.

PERFORMANCE REVIEW PROCESS



HOW TO GIVE CONSTRUCTIVE FEEDBACK

Constructive feedback not only helps employees do their work more effectively, but it also improves communication between the supervisor and the employee. Frequently, supervisors, subordinates, and coworkers do not provide enough constructive feedback to each other. When specific and accurate information is provided in a constructive way, both employees and supervisors can improve or change their performance.

All employees who are performing competently should receive praise and encouragement. Those who are not performing at the expected level should be informed of any problems and "coached" on how to improve. Apprising employees of good performance helps maintain their motivation and signals them to continue in this direction. Communicating with employees in a positive manner when they need to improve their performance will help prevent chronic work problems and minimize surprises during the annual performance appraisal process. It is important to remember that both positive and corrective feedback should be given as close as possible in time to when the relevant performance occurs.

Positive feedback

Positive feedback is defined as providing feedback to someone who has done something well and deserves praise for his/her efforts. In providing positive feedback, the following general rules should be followed:

- Respect the individual's privacy by choosing a time and place to speak without interruptions or being overhead by others. However, there may be occasions when it is appropriate to praise an employee publicly.
- Clearly describe what the individual did to deserve praise.
- Express personal appreciation and explain how the performance helps in the achievement of the employee's duties and responsibilities and overall accomplishments of the department.
- Ask if there are any job-related problems that the individual may need help with. Employees particularly appreciate it when their supervisors care enough to ask how they might help with any work difficulties.
- If necessary, the supervisor should schedule a follow-up meeting to see if the employee's concerns have been addressed.

Corrective Feedback

Corrective feedback is defined as providing feedback to someone who has not done something well and who requires some corrective action to improve performance. Good corrective feedback is provided in a constructive way that will continue to motivate the individual. In providing corrective feedback, the following general rules should be followed:

- Respect the individual's privacy by choosing a time and place to speak without interruptions or being overhead by others. Privacy is especially important when giving constructive feedback.

- Focus on the problem, not the individual. Avoid personalizing feedback, e.g., "Chris, the billing in the unit is two weeks behind; I'd appreciate your input concerning how to bring it up to date," NOT "Chris, you are slowing up the billing!"
- Identify exactly why the problem causes difficulty for the unit and cannot be allowed to continue.
- Ask for the person's help in resolving the problem and discuss the ideas he/she offers for its solution.
- Reach agreement on specific actions that each person will take to solve the problem. Confirm this agreement by restating it and by assigning a specific time frame or deadline to complete action.
- Schedule a follow-up meeting to examine the effectiveness of these actions.
- Never threaten the individual with ambiguous consequences if the behavior doesn't change, e.g., "Shape up or you'll be very sorry." The purpose is to motivate a change in behavior for positive reasons. Stronger steps can and should be taken through the disciplinary process if behavior does not change.
- Never use feedback as a way to "put a person down" or "in their place," to embarrass the individual in front of others, or to relieve anger.
- Attempt to leave the person motivated to perform better. If he/she is not motivated to improve, then the feedback was non-productive.
- If the performance does not improve, the supervisor should document the performance problem.

EXAMPLE
Job Duties & Relationship to Goals/Objectives

Position: Director, HR

| DUTY (from Job Description) | 2004-5 Goal | Linkage to College Initiatives, S.P. |
|--|--|---|
| Administer the position classification system and maintain wage and salary plan(s) | Develop & Implement a faculty Rank & Promotion system based upon portfolio, peer review, benchmarked to other CCs | <i>Initiative/Objective VII</i> |
| Coordinate & administer college performance evaluation program | Develop & recommend for Cabinet/Board approval new performance review processes for employees which are more performance-based, collaborative, etc. | <i>Initiative/Objective VII</i> |
| | For Administrators: develop and implement a performance review system that will support a pay for performance compensation system. | <i>Strategic Goal IV</i> |

WHEN & HOW TO DOCUMENT EFFECTIVELY & EFFICIENTLY

Documentation is one or more behavioral examples substantiating a rating claim/markings.

Sound behavioral examples are:

- Specific
- Relative to the category
- State or infer qualitative or quantitative measurement
- Dated

Poor Example: Duty/Category: Handling/Serviceing Incoming Phone Calls

“A caller was thankful for your continued assistance”
(Rating: Exceeds Expectations)

Sound Example: Duty/Category: Handling/Serviceing Incoming Phone Calls

“On 3/10/05 Ms. Bartell, County Superintendent, acknowledged your persistence in finding and supplying her with the accurate information about the next EPI Planning Meeting” when Charlotte was not available.
(Rating: Exceeds Expectations)

REMINDERS ABOUT DOCUMENTATION

- COLLECT DOCUMENTATION (examples) THAT SUPPORT EXEMPLARY, EXCEEDS EXPECTATIONS, OR UNSATISFACTORY PERFORMANCE RATINGS
 - These should typify the agreed-upon Performance Indicators
 - Do NOT spend time documenting examples of “Meets Expectations”
- As stated above, collect examples of work performance throughout the performance year from:
 - Customer/clients/employees such as recommendations, verbal accolades, written letters of commendation
 - Work samples of errors, below expectations
 - Work samples of above and beyond what was expected

Note: Talk to a few key people who routinely interface with the employee and inquire about his/her performance in specific key areas – especially ones that you may not witness.

- Remember a behavioral example or documentation may pertain to more than one duty/goal/objective. Any that connect or overlap to more than one duty/goal/objective are very valuable as they then “paint a broader picture” of the employee’s performance.
- Collect and use documentation (per all the above) relative to at least the top duties/goals that reflect 75% of the job description. (Note: if a lesser duty or goal, however, is unsatisfactory such needs to be used.)

LSCC PERFORMANCE REVIEW OVERARCHING RATING INDICATORS

| NOT APPRAISED/ NOT APPLICABLE | UNSATISFACTORY | NEEDS IMPROVEMENT | MEETS EXPECTATIONS/ SATISFACTORY | EXCEEDS EXPECTATIONS/ EXCELLENT | EXEMPLARY/ OUTSTANDING |
|--|---|--|---|--|--|
| <p>Experience with employee's performance was insufficient to assess performance – usually less than 90 days experience in the grade/level during the performance year</p> <p>OR</p> <p>Specific duty or behavior not observed/not applicable</p> | <p>Performance relative to basic job requirements was unsatisfactory</p> <p>Often produced poor quality results or failed to meet output/service commitments</p> <p>Developmental needs in three or more Competencies/Job Factors or Values that are not offset by the same number of strengths</p> | <p>Does not consistently deliver on duties or objectives</p> <p>Produces results that are below required/ standard levels</p> <p>Requires frequent or continuous follow-up, coaching, and assistance</p> <p>May have difficulty in one or more areas of technical/functional skills, job factors/competencies, Values</p> <p>Overall contribution to team/group does not meet basic requirements</p> | <p>Frequently delivers on objectives or duties to standards which contribute to the dept/division or College success</p> <p>Requires some follow-up, coaching, and assistance</p> <p>Demonstrates basic expected levels of technical/functional skills, job factors/competencies, Values</p> <p>Contributions meet job requirements</p> | <p>Consistently delivers on duties/objectives to standards which contribute to dept/division or College success</p> <p>No coaching, follow-up or assistance necessary</p> <p>Demonstrates expected levels of technical/functional skills, job factors/competencies, Values</p> <p>Accomplished frequently more than expected results</p> <p>Consistently met and frequently completed other special tasks/duties (above job requirements) as requested</p> | <p>Consistently delivers on more than the agreed upon duties/objectives and above the standards (quality & quantity)</p> <p>Creates and delivers truly extraordinary outputs and/or services</p> <p>Recognized as a professional or behavioral role model whom others turn to</p> <p>Inspires and teaches others to demonstrate excellent performance and Values</p> <p>Routinely rises to the unexpected needs of the team/group/department</p> |

--EXAMPLE--
SPECIFIC JOB/TEAM PERFORMANCE
INDICATORS FOR EXEMPLARY RATING

| LSCC Exemplary | JOB/TEAM Exemplary | JOB SPECIFIC Exemplary |
|--|---|------------------------|
| Consistently delivers on more than the agreed upon duties/objectives and requirements (quality & quantity) | Received and completed three or more extra duties/objectives or special assignments in the year | |
| | OR – Identified extra duties or assignments by self and completed such which improved the operations or outputs of the team | |
| | ALL outputs completed before due date | |
| Creates and delivers truly extraordinary outputs and/or services | Exceeds general standards set with the duties or objectives | |
| | Customers/clients acknowledge and appreciate (verbally or in writing) the outputs/services | |
| Recognized as a professional or behavioral role model whom others turn to | Peers, teammates request assistance or counsel on _____ | |
| | Customers/clients request individual to work with | |
| | Receives specific positive feedback from others via letters of commendation, 360-degree documentation | |
| Routinely rises to the unexpected needs of the team/group/department | Volunteers to help solve group/dept problems which significantly risk dept success | |

JOB INCUMBENT'S RESPONSIBILITIES IN THE PERFORMANCE REVIEW PROCESS

Clarity

- Clear on duties, goals and expectations of job
- Clear on what constitutes Satisfactory, Exceeds and Exemplary performance relative to the duties, goals and expectations (e.g. LSCC, Team & Specific Job Performance Indicators)
- Clear on challenges of job
- Clear on one's talents
- Clear on one's improvement areas
- Clear on one's needs in order to be successful performing job
- Clear on performance review outcomes especially development and/or improvement plan

Communication

- To openly discuss job/tasks situations as such arises
- To request assistance, coaching, challenges as needed
- To state job concerns with recommendations for improved efficiency/success
- To assist in the performance review/discussion
- To convey one's examples or documentation supporting self-ratings
- To seek understanding and to be understood
- To request a follow-up performance discussion after the formal review to clarify the review and subsequent actions

Documentation

- Complete Performance Review Self-Evaluation honestly & completely and submit to supervisor a minimum of two weeks prior to actual formal performance review discussion (unless negotiated differently)
- Compile and provide specific & honest behavioral examples supporting self-ratings for:
 - Exemplary
 - Exceeds Expectations
 - Unsatisfactory

SUPERVISOR'S RESPONSIBILITIES IN THE PERFORMANCE REVIEW PROCESS

Remember to Keep the End in Mind regarding the Performance Review:

- To validate the employee's value/contributions to the team and College in two steps: 1) completing periodic performance feedbacks and a final substantive yearly performance review; 2) accepting and using his/her self-evaluation.
- To motivate the employee to excel.
- To partner with the employee for developing increased performance success.
- To permit the employee to be heard and understood concerning job needs issues, concerns and self-evaluation.

...These end results therefore require that you practice continuous performance management skills of: coaching, directing, leading, acknowledging leading up to the actual yearly documented performance review discussion.

Clarity

- Clear on the employee's duties, goals and expectations of job
- Clear on what constitutes Satisfactory, Exceeds and Exemplary performance relative to the duties, goals and expectations (e.g. LSCC, Team & Specific Job Performance Indicators)
- Clear on challenges of job
- Clear on the employee's talents
- Clear on the employee's improvement areas
- Clear on the employee's needs in order to be successful in performing the job
- Clear on performance review outcomes especially employee morale/motivation, the development and/or improvement plan

Communication

- To openly discuss job/tasks situations as such arises
- To request assistance, coaching, challenges as needed (whether requested or not)
- To state job concerns with recommendations for improved efficiency/success
- To assist in the performance review/discussion
- To convey specific examples or documentation supporting ratings of E, EE, U
- To seek understanding and to be understood
- To honor the employee's request a follow-up performance discussion after the formal review to clarify the review and subsequent actions

Documentation

- Complete Performance Review form honestly & completely
- Use the appropriate information from the employee's self-evaluation
- Use solid examples supporting one's ratings – clarify and inquire about any reported examples that are unclear or questionable
- To acknowledge when you have made an error (omission of important info or incorrect info/data) and to then fix it

Deliver a performance review that is an

OSCAR

Objective Based (specific and not subjective thru solid examples; takes into account incumbent's self-review)

Surprises Prevented (periodic mini-reviews or feedback sessions provided prior to formal review)

Circumstances summarized (examples, documentation provided, obstacles discussed and counter actions created, improvement areas & development plans co-created)

Accomplishments Highlighted (talents validated, how obstacles were dealt with and overcome)

Re-Initiate Your Commitment to support/partner with employee (sincerely thank them for their contributions to the success of your team/department & College; Re-Initiate the Performance Process by establishing a follow-up discussion about job changes, new goals and expectations, etc.)

GENERAL GUIDELINES FOR COMPLETING AND CONDUCTING THE PERFORMANCE REVIEW DISCUSSION

The following general guidelines will help you to conduct performance appraisals that are meaningful, effective, and legal:

- Prepare for and schedule the performance appraisal in advance. Let the employee know well in advance when the review will take place so that he/she also will have adequate time to prepare. Emphasize to the employee that you value his/her input and welcome any suggestions that the employee may have for you to enhance his/her performance or to remove any barriers that impact the employee's performance.
- Throughout the year be sure to review with the employee his/her job duties and responsibilities, as outlined in the employee's job description and the performance objectives that you and the employee established. These job duties/responsibilities and objectives form the basis of the performance appraisal.
- Before filling out the performance appraisal form, review the employee's submitted self-evaluation, review your notes that you kept during the year regarding the employee's performance. This review will assist you in giving specific examples. Note any discrepancies between your "view" and the employee's.
- Allow sufficient time to complete the form. Strive for honesty and accuracy. If you have any doubts about any information that should be included (or not included) on the performance appraisal form, or if you have any reservations about ratings or any other concerns, do not hesitate to consult your next line supervisor or the Office of Human Resources.
- Find a quiet, private place for the performance appraisal meeting. If at all possible, don't cancel the meeting because of other duties. Avoid interruptions. Making the performance appraisal meeting a priority is an important message to send to the employee.
- Create a supportive environment to put employees at ease. Many employees have grave apprehensions about the performance appraisal process. Strive to put the employee at ease by "warming up" the environment. For example, give the employee a comfortable chair and offer a cup of coffee or other refreshment. Sit in a more casual relationship to the employee and not behind your desk. The desk represents authority and can be a barrier to communication. Reassure the employee that you view the performance appraisal as a positive process that encourages constructive feedback about job performance and increases greater job understanding.
- Watch your body language and be aware of its impact on others: tapping fingers on a desk, looking at your watch, flipping through the pages of a book, or fiddling with a coffee cup distracts the conversation and impairs the communication process. This type of behavior sends the message that you are impatient and want to move to other things.
- Make the performance appraisal meeting a process of two-way communication. Express an interest in the employee's self-evaluation and encourage the employee to share perceptions of his/her job performance. Listen to the employee, even if his/her perceptions are different from yours. A good rule of thumb during the performance appraisal meeting is to listen more

than you talk. A performance appraisal meeting should not be a "lecture." Be clear, direct, and honest in your communication. Don't be afraid to alter your opinion about an employee's job performance based on additional, previously unknown information that the employee may share with you. Also, if you don't agree with the employee, don't be afraid to keep your rating the same.

- Focus on job performance, not on the employee. Even if the employee is not performing well, make it very clear that you are evaluating job performance and not the person. One sure way to create difficulties in the review is for the employee to feel attacked personally.
- Support the performance appraisal with specific examples. Filling out the comment section of the performance appraisal form is critical to conducting a meaningful, effective and legal performance appraisal. Comments are required for all ratings of exemplary, needs improvement and unsatisfactory. However, the college strongly encourages comments for all ratings. Comments give "meaning" to the ratings.
- Give both positive and negative feedback. Focusing on the performance of each job duty and not the person, do not hesitate to acknowledge good performance and to give constructive criticism of performance that needs improvement. For more information, refer to the section on How to Give Constructive Feedback.
- If the employee is reticent to talk during the performance appraisal interview, use open-ended questions, which require more than a yes or no answer. Examples of open-ended questions are: "Why do you think we have departmental difficulties in administering the program?" or "What suggestions do you have to improve our reporting system?" Asking questions not only gets the employee talking, but it also shows that you value the employee's ideas.
- Sometimes during the performance appraisal process, an employee may identify a personal problem that negatively impacts his/her work performance. If this is the case, inform the employee that the college has a confidential Employee Assistance Program (EAP) that allows up to eight free counseling sessions each year for a variety of problem areas, including marital, grief, financial, alcohol, etc. Give the employee the phone number of the EAP and a handout (available in the Office of Human Resources). Assure the employee that the program is confidential. Offer support, but do not try to diagnose or solve the problem. If you suspect a personal problem, but the employee has not identified one to you, do not accuse or make an assumption concerning the employee. Instead, focus on the performance and give the employee an opportunity to share his/her reason(s) for the performance problem. If the employee does not identify a personal problem, you should not either. Rather, ask the employee what he/she plans to do to improve performance and what you as the supervisor can do to help.
- At the close of the performance appraisal meeting, sum up what was discussed during the meeting. Ask the employee if he/she has any questions or concerns.
- For areas that need improvement, be sure to establish with the employee an agreed-upon performance improvement plan for the following year. Write down this improvement plan on the performance appraisal form. It is imperative that an employee knows specifically what he/she needs to do to improve performance and plan a timeframe for follow up. Performance improvement plans are critical to conducting meaningful, effective and legal performance

appraisals.

- Acknowledge the professional development that the employee undertook during the year and agree upon general professional development/training activities for the upcoming year.
- Discuss with the employee performance objectives for the upcoming year during the review process. It is critical that you and the employee agree upon the goals and objectives that will be evaluated in the employee's next performance review. Refer to the section on Setting Performance Objectives.
- If the communication between you and the employee deteriorates during the performance appraisal interview and you feel that to continuing the meeting would be unproductive, do not hesitate to terminate the meeting and reschedule another one. Explain to the employee that for a constructive and productive meeting take place, both of you should regroup and meet again very soon.
- If an employee states that he/she does not want to sign the performance appraisal because of disagreement with some or all of it, emphasize to the employee that a signature only means that the appraisal occurred. Encourage the employee to write his/her comments regarding the performance appraisal within fourteen (14) working days. These comments will be filed with the performance appraisal form in the employee's personnel file.

PROFESSIONAL DEVELOPMENT PLANS

To the fullest extent possible, the college supports the professional development of all employees. The performance appraisal process is the natural time for you and the employee to focus on the professional growth of the employee. The performance appraisal process provides supervisors and employees with the opportunity to assess what professional development activities were completed during the year and to discuss plans for the next performance appraisal cycle. Jointly, the employee and supervisor identify professional development activities that will enhance the employee's current position and will further career growth at the college.

PITFALLS TO AVOID IN THE PERFORMANCE APPRAISAL PROCESS

Because it is important that the performance appraisal process is constructive and that it enhances employee motivation, supervisors should be aware of common pitfalls. Research shows that these pitfalls can cause employee anger, loss of employee morale and motivation, as well as grievance or legal action. These pitfalls include:

- The supervisor does not communicate adequately to the employee the job duties, performance objectives and the performance standards before the formal review.

Remember, employees must be clear on the job duties, performance objectives and expected performance standards at the beginning of each performance appraisal cycle. Surprising the employee with previously undefined job duties and performance during the formal performance appraisal most likely will cause anger.

- The supervisor does not adequately prepare for the formal performance appraisal. A supervisor who displays little thought given to the performance appraisal process, by not spending enough time on the form, by not completing it in a timely manner, by not citing specific examples, etc., may demoralize the employee.

Remember, performance appraisals are important to employee motivation and enhanced productivity and conducting effective, meaningful and legal performance appraisals is the critical part of a supervisor's job responsibilities.

- The supervisor commits the "recent-cy error." The recent-cy error occurs when the performance appraisal is based largely on the employee's most recent performance, good or bad, rather than on performance throughout the appraisal period. The recent-cy error results in biased evaluations.

Remember, an accurate and fair performance appraisal must be based on an employee's performance over the course of the year. Keep a record of the employee's accomplishments during the year and specific examples of what the employee does well and what he/she needs to improve.

- The supervisor commits the "halo error." The halo error occurs when a supervisor judges an employee favorably or unfavorably on the basis of one strong or weak point on which the supervisor places a high value.

Remember, to conduct an accurate and fair appraisal, the supervisor must evaluate each job duty and/or objective independently from each other. Be as objective as possible. Just because the employee is very good, or very poor in one job duty/objective, does not mean that the same holds true for other job duties/objectives.

- The supervisor commits the "central tendency error." The central tendency error occurs when the evaluator is reluctant to assign either high or low ratings, when appropriate, but instead chooses to rate all employees as average.

Remember; be as honest as possible in your ratings. Citing specific examples give an employee a high rating if it is deserved; likewise, give a low rating, citing specific examples, if it is deserved.

SETTING PERFORMANCE OBJECTIVES

(For Administrators and select Managers)

Setting performance objectives is an important part of the performance appraisal process. It is an excellent time for the supervisor and employee to assess individual, departmental and college needs for the upcoming year. In setting performance objectives, emphasis should be placed on the college's strategic plan, improvement of the individual's own performance and accomplishment of departmental or unit objectives. The setting of performance objectives is a two-way process, and it is important that the employee understands the importance of the objectives and commits to them.

Even though there may be numerous performance objectives that could be set for most positions, limit performance objectives to what is most important. Once established, it is important for a supervisor and employee to discuss the performance objectives over the course of the year. Not only is the feedback important to the employee, but it is also critical to assess if any changes to the performance objectives need to be made due to a change or shift in individual, departmental or college needs. If there are any changes to the performance objectives over the course of the year, these changes must be noted in an addendum that will be added to the performance appraisal form.

As a general guideline, strive to set performance objectives that are SMART:

- **SPECIFIC** - Expectations should describe specific behaviors that are required for the job performance.
- **MEASURABLE** - Expectations should allow for objective monitoring and measurement.
- **ATTAINABLE** - Expectations should be realistic for the employee to achieve and accomplish.
- **RELEVANT** - Expectations must be relevant to the requirements of the current position, the department and the college.
- **TRACKABLE** - Expectations should be traceable by either the supervisor or the employee to allow for the monitoring and evaluation of performance levels.