



PERFORMANCE APPRAISAL

APPRAISER'S GUIDE



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INTRODUCTION

The Performance Appraisal process provides a mechanism for employees to contribute to the achievement of UMKC's vision and organizational objectives. It facilitates communication between employees and their immediate supervisor by providing a structure for feedback on performance. This document has been designed to clarify the performance measures of the appraisal and take you step by step through the completion of the appropriate forms and provide answers to questions that you might have about the appraisal process.

We are committed to the success of the process in order to:

1. Fully develop employee potential and improve communication relating to performance.
2. Provide a method to reward employees on a merit basis (Based on overall budget considerations).
3. Improve productivity and the performance of the University.
4. Reinforce UMKC's mission, value and culture.

The success of the process depends on your understanding and use of the performance appraisal as an opportunity to improve productivity and develop the full potential of the employees you supervise. The appraisal process works only when employees know what is clearly expected of them. Defining the expectations is the joint responsibility of the employee and the supervisor. Using the job description as a starting point, employees and supervisors must develop a mutual understanding of the roles, responsibilities and expectations of the position. The objectives of the performance appraisal are to provide feedback on the past performance of employees, to agree on standards for future performance, and to develop goals and objectives for personal and professional growth. For these objectives to be achieved, both managers and their staff must have a good understanding of the process and fully support it. The performance appraisal, however, is not a substitute for periodic and continuous review of an employee's job performance. Supervisors should conduct reviews regularly during the year in order to discuss the employee's progress toward accomplishing desired results and to address on-going issues.

Good employee relations are built upon fair and equitable treatment. We must base our treatment of employees on definite standards, applied fairly and without discrimination. The Performance Appraisal is a tool to honestly and objectively evaluate performance.



THE PERFORMANCE APPRAISAL FORM

The Performance Appraisal Form is used to evaluate an employee's performance using defined factors and levels of performance applied fairly and consistently to all employees.

PERFORMANCE FACTORS

Performance Factors represent areas of individual performance that are essential to success in the position and to the success of the particular UMKC organization. Each position and functional area within UMKC has specific job expectations associated with these Performance Factors. There are seven performance factors identified for all employees and one additional optional factor. The seven performance factors are:

- Communication
- Customer Service
- Cooperation/Teamwork
- Quality
- Productivity/Core Organizational/Business Skills
- Job Knowledge/Technical Proficiency
- Professionalism.

The three additional Performance Factors have been identified for employees in positions with supervisory responsibility are:

- Performance Management
- Leadership
- Unit Achievement/Fiscal Management



PERFORMANCE LEVELS

You will rate each Performance Factor, on a scale of 1 to 5, as it relates to the employee's performance. Specific, objective comments should be included to support the ratings. You must include specific supporting comments for each specific rating which is particularly high or low. Managers and employees must share a common understanding of what each rating signifies, and use them consistently.

The five Performance Levels are:

5 – Outstanding: Reserved for the individual whose work performance clearly and consistently superior to the standards required for the position. This caliber of performance is easily recognized by others in related areas as well as outside of the individual's own group or function. The individual is successful in unusual and adverse situations, meets extraordinary business challenges with little or no guidance and sets a positive example for others. Results significantly exceeded performance standards/objectives over a sustained period.

4 - Exceeds Expectations: This individual exceeds most requirements of the position, including all key areas. This rating demonstrates a level of accomplishment that goes beyond reasonable and demanding standards, particularly in key knowledge, skills and abilities. Performance is characterized by high achievement and the individual demonstrates planning and execution of all routine functions and most major functions with minimal guidance.


3 – Achieves Expectations: This individual demonstrates a level of accomplishment that clearly fulfills expectations and at times exceeds them. It reflects good, solid and consistent performance. Has demonstrated ability to execute and control routine functions and several major functions with occasional guidance.

2 - Minimally Meets Expectations: This individual demonstrates a level of accomplishment that is below the standards of performance and does not meet or marginally meets the requirements. This individual demonstrates an inconsistent level of achievement and requires more direction and guidance than normally expected for routine functions.

1- Needs Significant Improvement: This individual's performance does not meet expectations and is not acceptable. Requires close supervision and direction. This individual has been counseled yet fails to remedy deficiencies in required skill and knowledge. Corrective action is needed.

Below are some tips for completing the first section of the performance appraisal form (the Performance Factors):

- Write succinct summary statements that describe accomplishments.
- Describe the individual's performance results; identify as many strengths and achievements as possible.

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- Indicate where and how results were met, exceed, or fall short of desired outcomes; identify key areas where performance could be improved.
 - Make sure descriptions are specific rather than general.
 - Make sure descriptions are factual and verifiable.
 - Be prepared to answer questions and provide explanations and examples, in addition to suggestions for improvement.

PERFORMANCE APPRAISAL RATING

In this section, the performance appraisal rating will be calculated. First total all the points assigned in the Performance Factor section. Next, divide by the number of Performance Factors used to evaluate the employee to determine the overall Performance Appraisal Rating.

APPRAISER'S OVERVIEW EVALUATION


The Appraiser's Overview Evaluation is a composite statement of the employee's performance. The comments should be consistent with the ratings and remarks made in the previous sections of the form. It is a narrative overview of the employee's work performance during the review period. Your comments should convey an overall sense of value and performance.

PERFORMANCE OBJECTIVES

In this section, you will evaluate goals/objectives from the previous period. This can be done with bullet points; a numerical rating is not needed. Specify whether or not the objective was accomplished, to what degree, and whether or not it was completed within the timeframe established.

NEW PERFORMANCE OBJECTIVES

In the new Performance Objectives section, you will identify specific expectations, objectives, or development plans for the next review period. Each objective/goal must pertain to a function or task specified in the employee's job description, a strategic initiative, or operational enhancement. Objectives must be measurable and observable. You must complete this prior to the appraisal interview; however, you may wish to revise or add to the list during the appraisal interview. The objectives should be jointly agreed upon by you and your employee. Performance objectives may also need revising during the review period as the position expectations change.



An objective is a highly specific statement about what needs to be accomplished, and reflects a significant end result that is not part of an ongoing day-to-day job responsibility. Objectives are achieved within specific time and resource constraints. Objectives should be:

- Expressed in terms of end results rather than in the tasks that go into meeting those end results.
- Challenging yet achievable.
- Aligned with the goals of the functional group and the University.
- Take into account conditions that exist, i.e., tenure in position, controllable factors, etc.

DEVELOPMENT AND TRAINING

In this section, you and your employee will jointly assess training needs and development assignments or activities for the next review period to help them in their job and their career growth.

- You should discuss the rationale for the training and ask the employee how they think they will benefit from the training and apply it to their jobs.
- Be realistic in terms of budget and time constraints. Do not promise something that you will not be able to follow through on later.
- Focus on activities that enhance current performance or prepare the employee for greater challenges or career advancement.
- List specific activities to be carried out by the employee and indicate a date or time frame for the activity to be completed.

Training and/or development can be internal or external and on or off-the-job. On-the-job resources include:

- Training with a senior member of your team, a member of management, or a person from another department.
- Company training session
- Staff meetings
- Special assignments
- Reading selected periodicals/trade publications
- Meetings with selected in-house professionals

Off-the-job resources include:

- Seminars/workshops
- Correspondence courses
- Professional/technical associations
- Personal improvement courses – public speaking, business writing
- University courses/adult education



EMPLOYEE POST REVIEW COMMENTS

This section is for the employee to add hand-written comments following the performance appraisal interview. Statements provided could address comments about their performance or other aspects of the performance appraisal and/or process.

SIGNATURES

The signature of the immediate supervisor on the completed form indicates that this is the immediate supervisor's fair and accurate appraisal of the employee's performance and that the immediate supervisor has communicated their feedback to the employee. The employee's signature indicates neither agreement nor disagreement with the appraisal. It does indicate—that the supervisor has reviewed the information; the employee has read the document; and that the supervisor and the employee have discussed the appraisal.



EMPLOYEE SELF APPRAISAL

Employee's thoughts about performance are an important part of the Performance Management Process. The Self Appraisal provides a tool for the employee's participation in the appraisal process. The purpose of the Employee Self Appraisal form is to obtain the employee's comments regarding job strengths, developmental needs, and actions that might be taken to improve performance.

Employees should be encouraged to complete the form with specific comments. The comments should familiarize you with the employee's thoughts, perceptions, and expectations. Their comments should also provide an opening to discuss performance development including areas of needed improvement and resources available for improving those areas. It may also provide you with insight regarding things affecting their work environment, contributions they feel they have made, and suggestions for changes and improvements.

Ask your employee to complete the Employee Self Appraisal prior to the appraisal interview and to bring it to the interview. It is an integral component of the appraisal interview. The Employee Self Appraisal will be attached to the completed Performance Appraisal document and submitted to Human Resources.



GENERAL PROCEDURES FOR SUPERVISORS

Below are general procedures that Supervisors should review in preparation of their employees' performance appraisal interviews:

1. Schedule the interview with the employee in advance. BE sure to allow adequate time to prepare (1-2 weeks) and adequate time for the interview itself (a minimum of 1 hour is recommended).
2. Ask the employee to complete the Employee Self Appraisal Form.
3. Review any notes that you have kept on the employee during the year to remind yourself of earlier observations about the employee's performance. Re-familiarize yourself with the employee's position description.
4. Evaluate and document the employee's performance on the appraisal form.
5. If a second review is desired, give the completed evaluation form to your next level manager.
6. Conduct the performance appraisal interview with the employee on the scheduled date and time. Select a location which will provide privacy with no interruptions.
7. After the appraisal interview is conducted and both you and the employee have signed the document, give a copy of the appraisal to the employee. Forward the completed form along with the Employee Self Appraisal form to Human Resources.



CONDUCTING THE APPRAISAL INTERVIEW

The appraisal interview should be a conversation with the purpose of providing feedback on performance, establishing objectives for the upcoming review period, defining development opportunities, and exchanging information.

Although each manager may conduct the appraisal in a slightly different manner, these are the basic steps in conducting the appraisal interview:

1. Establish a rapport; put the employee at ease, your goal should be an atmosphere in which both you and your employee can relax and be yourselves.
2. Review the purpose of the interview, pointing out the benefits of the appraisal process
3. Encourage the employee to participate; ask questions, or bring up issues at any time; be prepared to address any questions that arise; this must be a two-way conversation.
4. Review the job itself before you zero in on individual performance in that job.
5. Have the employee share their Employee Self Appraisal with you; discuss any areas of performance you have also noted as well as those that differ. Provide the employee feedback on the areas for development indicated.
6. Provide the employee a copy of the completed appraisal or review a document together.
7. Whenever possible, begin the discussion on a positive note by recognizing accomplishments achieved.
8. Discuss the Performance Factors one by one and the assigned rating to make sure the employee understands what they mean and what you have documented. Discuss and reflect on areas where performance can be improved, and identify areas where desired results were not achieved.
9. Review the overall rating and the Appraiser's Overview Evaluation.
10. Examine objectives from previous appraisal period and assess accomplishments of those goals.
11. Seek agreement on areas where performance can be improved.
12. Set objectives for the next appraisal period and define the plan to achieve those objectives, offer your help by asking what you can do to help the employee carry out these plans.
13. Invite the employee to make comments in the "Employee Comments" section of the appraisal form if they wish; end the interview on a positive note.
14. Ask the employee to sign and date the form in the space provided; make it clear that their signature does not mean that they agree with every detail of the appraisal, it only indicates that the appraisal has been discussed with them.



COMPENSATION

When conducting the performance appraisal, it is recommended that the subject of compensation not be discussed. Discuss the organizations philosophy of reward based on performance; however, do not discuss specific increase amounts. Recommendations for increases based on the Performance Appraisal ratings will be provided to each department head. (see Salary Increase Guidelines)