

Performance Appraisals

Information and Performance Appraisal Sample Forms

Assessing and managing performance is an essential part of the employment relationship. An important feature that should be included in all employment relationships and that assists in managing performance is regular performance appraisals or reviews.

Essentially, performance appraisals are the process of planning an employee's future work goals and objectives, reviewing job performance and work behaviours, assessing progress towards predetermined work goals, and discussing the employee's training and development. How performance appraisals are conducted in an organisation can be very wide and varied. Some organisations restrict it to a tight range of activities, e.g. performance plans for the next year and an assessment of the past year's performance, while others try to use performance appraisals for as many different purposes as possible.

While there is no right or wrong way to conduct performance appraisals, the NZMA suggests that they are conducted in a regular set timeframe (annually or six-monthly). Performance appraisals should be conducted as formal meetings with the employee at which the employee should be able to offer input and feedback. The outcomes of an appraisal should be in writing, preferably signed by both parties, and kept in the employee's file.

There are many benefits to be gained by conducting formal performance appraisals. They can benefit the organisation, the managers and the employees in the following ways:

ORGANISATION

- Establishes a desired culture
- Communicates corporate objectives
- Reduces unhealthy competitiveness and promotes co-operation
- Improves focus and productivity
- Provides a source of personal and performance information.

MANAGERS

- Develops the working relationship
- Identifies achievers for development
- Recognises people who need coaching/counselling
- Creates a co-operative environment
- Develops teamwork
- Focuses efforts
- Provides information and feedback (both ways).

STAFF

- Provides formal feedback and recognition
- Satisfies the need of most people "to know how I am doing"
- Allows staff to be part of progress and improvement
- Encourages staff to take responsibility
- Clarifies performance expectations against achievements
- Sets goals/objectives for the future

- Provides information on what is important.

Performance appraisals are often avoided by both employers and employees in organisations. The process can be uncomfortable for both parties. Part of the problem is the word 'appraisal'; for it implies making judgements. Often performance appraisals are done badly by managers who are not committed to the process, do not understand the importance or are insufficiently prepared. It is also the managers role in an appraisal to be both judge and helper to the employee, this is a conflicting role.

It can at times be difficult to give constructive criticism to an employee without insulting or offending them, so you need to carefully prepare the appraisal before conducting it. One recommended approach for conducting performance appraisals is by using the 'CRC' formula.

C for congratulations, compliments and commendations;

R for remind, rethink, rejuvenate and recommend;

C for complement, capability and commend.

The commend, recommend and commend formula gives an opportunity to focus on and include all your thoughts, giving praise and critique. By following this formula, you open the meeting on a positive note, in the hope of relaxing the employee. And you also close the meeting on a positive note, in the hope the employee will not leave the meeting feeling negative about the appraisal.

The more the employee is involved in, and supports the process, the better the opportunity to use it to improve performance. Employee input gives the appraisal legitimacy and can persuade employees to commit themselves to making specific improvements.

The forms attached to this document are examples of performance appraisal forms. Some are for employee self-appraisal, while others are for the manager to complete about the employee. These sample forms are provided as a guide to assist you in conducting your performance appraisals. Not all of them will be relevant to your needs. If you choose to use any of these forms they should be altered to be specific to your business.

Managing performance is an ongoing process of communication between the supervisor and the employee. This process should not be limited to an annual or six-monthly appraisal, but rather should include;

- Regular communication to employee on what their duties are and how to perform them. This information is communicated through written job descriptions, training and instruction from the manager;
- Reminding employees of the criteria by which their performance will be assessed.

Much of this communication will be provided informally on a day-to-day basis. The annual performance appraisal should be designed to evaluate the overall performance since the last appraisal, their behaviour and their potential for development.

Need more help?

Contact the NZMA:

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PERFORMANCE REVIEW — SAMPLE FORM ONE

NAME..... DATE.....

POSITION..... LOCATION

Appraisal Instructions Rating Scale (Optional)	
N/A	Not Applicable
RE	Rarely equaled on performance expectations. Exceptional achievement in terms of results produced.
CE	Clearly exceeds job requirements
MR+ MR MR-	Meets most requirements and most expectations in terms of contributions. Does not require more help from supervisor and others than implicit in the position description. By definition this is a very satisfactory standard of performance in a position in which high standards are expected. Use may be made of plus (+) or minus (-) to give shading to the rating Meets All Requirements (MR) . Shading is not to be applied to any other rating.
MP	Marginal Performance. Meets all job related requirements sometimes or some requirements all of the time; needs greater help than implicit in the position description from supervisor and others; problem areas need to be monitored and documented.
FM	Fails to meet requirements, problem areas need to be monitored and documented.
Note: The proposed rating scale is designed to avoid the use of numerical scores. It assists both parties to reach an objective assessment of each factor to guide work planning for the future.	

Section 1 Objectives/Results

In this section comments should be made about major areas of work that the employee has been involved in over the review period. As far as possible comment in terms of what has actually been achieved. Use the rating scale given above.

Major Work Contributions:

Rating

Innovations: (List suggestions or improvements made by the Employee to the work place or the way work is done.)

Rating

Personal Development: (List things done by the employee to develop his/her Own job related skills and abilities in our out of working hours.)

Rating

Section 2 Work Factors **Rating**

In this section rate the employee in terms of performance in each of the listed areas.

- | | | |
|----------------------------------|--|--------------------------|
| 1. Safety: | Does the employee comply with practical safety procedures? | <input type="checkbox"/> |
| 2. Reliability and Attendance: | Does the employee start work and commence work on time? | <input type="checkbox"/> |
| 3. Know-how: | Does the employee demonstrate a grasp of job related knowledge? | <input type="checkbox"/> |
| 4. Workmanship: | Is the quality and output of work to standard and specification? | <input type="checkbox"/> |
| 5. Team Work: | Does the employee work effectively in the team providing help and support to others? | <input type="checkbox"/> |
| 6. Flexibility and Co-operation: | Does the employee accept change? | <input type="checkbox"/> |
| 7. Initiative: | Does the employee show imagination and self-started action? | <input type="checkbox"/> |
| 8. Communication: | Does the employee seek and give advice? | <input type="checkbox"/> |
| 9. Time Management: | Does the employee allocate time to job efficiently? | <input type="checkbox"/> |
| 10. Administration: | Does the employee complete forms and returns clearly when applicable? | <input type="checkbox"/> |
| 11. Self-supervision: | Is the employee able to work by self? | <input type="checkbox"/> |

Section 3 Overall Appraisal

Consider the results achieved by the employee and the way in which the employee performed her/his work. Give a rating which most accurately describes the employee's total performance over the review period. **Rating**

Comments:

Section 4 Development Plan

Rating

List things that should be done to improve the employee's performance or to prepare them for other positions.

Comments:

Section 5 Employees Comments

This section is for the employee to fill in, not the supervisor. The employee may make any comments desired about the appraisal or the Development Plan.

I acknowledge that my supervisor has shown me my completed appraisal and supplied me with a copy:

Employee's Signature **Date**

Appraiser's Signature **Date**

Appraiser's Manager's Signature **Date**
(Where applicable)

PERFORMANCE REVIEW — SAMPLE FORM TWO

Full name _____

Parts 1, 2 and 3 to be completed by supervisor:

Supervisor's name _____ Date _____

Part 1 Planning

Job expectations	Goals	Results

Part 2 Performance factors

Please tick
one

A Dependability (degree of supervision required)

- Self-motivated, rarely needs supervision
- Some supervision required but reliable routine work
- Conscientious although requires frequent supervision
- Needs constant supervision

Comments

B Adaptability (learning quickly, adjusting to change)

- Quick to change, welcomes new challenges
- Learns well and accepting of change
- Average learner and adjusts to changes with minimum difficulty
- Forgetful of assignments and fights change

Comments

C Attendance (number of absences, length of lunch periods, and number and length of breaks)

- Outstanding record of attendance
- Rarely absent
- Problems with attendance
- Serious problems with attendance, or abuse of time

Comments

D Cooperation (willingness to take supervision and relate to co-workers)

- Enthusiastic to responsibility
- Relates well to supervisor and co-workers
- Problems with co-workers or supervisor
- Has to be watched and supervised constantly

Comments

E Quantity of work (ability to meet or exceed established goals)

- Never misses deadlines and sets new goals on task completion
- Completes assigned tasks
- Meets most deadlines
- Has difficulty working alone and efficiently

Comments

F Quality of work (accuracy, attention to detail, and neatness of work)

- Exceptional accuracy and very well organised
- Few errors and generally neat
- Acceptable work although lacks neatness
- Does poor work

Comments

G Job knowledge (degree of familiarity with procedures and equipment)

- Mastered all aspects of work
- Sufficient knowledge of work
- Insufficient knowledge of work

Comments

H Interpersonal relations (ability to communicate effectively)

- Gives courteous service and is an effective communicator
- Positive and supportive and gives a good image
- Does not convey a positive image
- Impersonal and lacks professionalism

Comments

I Safety (good work habits)

- Exerts due care and diligence
- Avoids preventable accidents
- Needs attention to work practices
- Takes undue risks

Comments

J Physical fitness (ability to perform)

- Excellent
- Average
- Frequently ill
- Poor (recommend a medical examination)

Comments

Please tick one

Part 3 Overall performance

- Outstanding
- Above average
- Good
- Below average
- Unsatisfactory

Comments by supervisor

Employee comments

I have reviewed the evaluation and have discussed it with my supervisor

Yes

No

I would like a further review of this report

Yes

No

Supervisor's signature _____ Date _____

Employee's signature _____ Date _____

Department head

Name _____

Comments _____

Department head's signature _____ Date _____

PERFORMANCE APPRAISAL — PROFESSIONAL AND SUPERVISORY PERSONNEL

Full name _____

Brief details of positions held _____

	1	2	3	4	5	6
Please indicate the most appropriate rating and expand in the space provided for comments.	Outstanding	Above average	Acceptable	Below average	Unsatisfactory	n/a
1 Knowledge of work performed						
2 Volume of work performed						
3 Quality of work performed						

Comments on factors 1 – 3

4 Ability to organise work						
5 Ability to understand and follow directions						

Comments on factors 4 – 5

6 Oral communication						
7 Written communication						

Comments on factors 6 – 7

	1	2	3	4	5	6
Please indicate the most appropriate rating and expand in the space provided for comments.	Outstanding	Above average	Acceptable	Below average	Unsatisfactory	N A

8	Drive and ability to act on initiative						
9	Ability to make sound decisions						
10	Willingness to accept responsibility						

Comments on factors 8 – 10

11	Relations with others						
12	Attention to discipline						

Comments on factors (11) – (12)

Overall performance assessment							
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Comments on overall performance

Main weaknesses

Action recommended to eliminate weaknesses

Potential for promotion	Prospect of promotion
Special skills	Current studies

Outcome of discussion with appraised (and comments if applicable)

Signed _____ (appraiser) Title _____

Date _____

Comments by appraised _____

Signed _____

PERFORMANCE APPRAISAL QUESTIONNAIRE

Period _____ to _____

Name: _____

Your position

How would you rate your performance during this period?

What successes have you had during this period?

What difficulties have you experienced during this period?

How were they overcome? If not yet resolved – how can they be overcome?

How satisfied are you in your current role?

Training and development

In which areas do you think you need further development?

Where do you see yourself in the next 12 months?

What can you do to achieve this?

What are your career objectives (long and short-term, ultimate career goals)?

Other

Are there other comments you wish to make?

PROFESSIONAL ACHIEVEMENT LIST

Full name _____ Title _____

Date due _____

Please use this form to provide information you believe should be considered in an evaluation of your performance. Complete the form and submit it to your supervisor by the date shown above. Please list only those achievements that have occurred since your last performance review.

Describe any activities (other than those contained in your job description) that either improve your ability to deal with the duties of your position or that reflect such improvement.

Cite any professional, scientific, administrative, or technical innovative methods, programmes, or inventions that you have developed or refined.

List and briefly describe your participation in management programmes (ie active committee work).

List any continuing education courses, training programmes, or participation in professional organisations related to continuing professional growth.

List any degrees, licences, honours, awards, or other recognition in your profession not recorded on your personal file.

Employee's signature _____ Date _____

EMPLOYEE CONCERNS FOR DISCUSSION AT PERFORMANCE APPRAISAL

To _____

We will be meeting on _____ to discuss your performance over the past year and to form plans for developing your potential as an employee.

Your input is a very important part of this meeting. You can prepare for the meeting and help me to address your concerns by reading over the following questions and writing down those aspects of your performance and development you would like to discuss. Please return this form to me _____ days before the meeting.

What do you consider to be your most important accomplishments on the job over the past year?

What steps could you take to improve your performance? Is there anything I can do to help you improve?

Do you have any questions about what is expected of you on the job?

What are your career goals in the long term? Are there any training courses or assignments you would like to take on now to help prepare you for advancement?

Please mention any accomplishments, awards, or activities over the past year that might give me a more complete picture of your strengths and abilities.

Do you have any other concerns that you would like to discuss at this meeting?

Employee's signature _____ Date _____

PERFORMANCE REVIEW AND DEVELOPMENT PLAN

Part 1 To be completed by employer and employee together in a meeting called for the purpose.

Employee: Evaluating Manager:

Position: Date of Evaluation:

<u>Reviewing Job Responsibilities</u>	<u>Assessment and Comments</u>
Job Knowledge	
Quality of Work	
Customer Support	
Contribution to Team	
Attendance and Timeliness	
Personal Presentation	
Key Objectives for Position - from job description	

Overall Review	
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Development Plan

Part 2 Employer to complete this form from the information arising from the review meeting and the job description review.

<u>Area in need of development</u>	<u>What needs to be achieved? (Action Plan)</u>	<u>Who is responsible for this?</u>	<u>Review Date</u>	<u>Outcome</u>

Confirmation:

Employee

I have reviewed this plan and discussed it with management. I accept the action plan and will work to complete this by the due date.

Signed Date

Employer

I have discussed the above action plan with the employee and will assist them to achieve this.

Signed Date