

DEL MAR COLLEGE



PERFORMANCE APPRAISAL MANUAL

OFFICE OF HUMAN RESOURCES

Provisions and Information

The provisions and information set forth in this handbook are intended to be informational and not contractual in nature. Thus, this handbook is not intended and shall not be construed to constitute a contract between the Del Mar College District (Del Mar College) and any prospective employee, agency of the local, state, or federal government, or any other person or legal entity of any and every nature whatsoever. Del Mar College hereby reserves and retains the right to amend, alter, change, delete, or modify any of the provisions of this handbook at any time, and from time to time, without notice, in any manner that the Administration or the Board of Regents of Del Mar College deems to be in the best interest of Del Mar College. All references to "he" or "she," etc., are non-gender specific and in no way suggest gender. Del Mar College does not discriminate on the basis of race, color, sex, age, national origin, religion, disability, or any other constitutionally or statutorily impermissible reason.

TABLE OF CONTENTS

| | |
|---|-----------|
| PURPOSE | 4 |
| PERFORMANCE APPRAISAL AND THE LAW | 5 |
| PREREQUISITES FOR AN EFFECTIVE PROGRAM | 6 |
| PERFORMANCE APPRAISAL PROCESS | 7 |
| APPRAISAL FORMS http://www.delmar.edu/forms/per008.pdf..... | |
| MONITORING | 8 |
| TIPS ON GIVING PRAISE | 8 |
| CRITICISM | 9 |
| PREPARING FOR THE ‘ONE-ON-ONE’\INTERVIEW..... | 10 |
| CONDUCTING THE INTERVIEW | 10 |
| RATER BIASES | 12 |
| INTERVIEW CLOSING | 15 |
| GOALS BEYOND REACH IN THE INTERVIEW | 15 |
| Handling excessively deficient performers | 15 |
| Handling top performers | 16 |
| SUMMARY | 16 |
| TOOLS FOR BUILDING A GOOD APPRAISAL | 17 |
| PLANNING FOR THE APPRAISAL | 17 |
| BIBLIOGRAPHY | 18 |

PURPOSE: Performance Appraisal serves many purposes: Should be used to improve performance; provide a documented, supportable basis for making personnel decisions regarding such matters as transfers, promotions, and terminations.

Recent legislative action and court decisions have made it crystal clear that decisions affecting all employees must be based on work criteria as opposed to intuition or “gut feelings.”

Through the performance appraisal, an employee’s performance may be closely scrutinized.

DEFINITION: Performance Appraisal and Performance Evaluation are used interchangeably. These terms refer to the total process of observing and evaluating an employee’s performance in relation to pre-set performance standards and explicit objectives to determine an employee’s potential for development.

FEEDBACK TO EMPLOYEES

The Performance Appraisal is a form of communication whereby supervisors keep employees under their supervision appraised about their performance.

- Effective performance appraisal is not just a once-a-year activity. It is a continuous process. Feedback must occur on a monthly, weekly, or daily basis.
- The information individuals receive must be useful to them. Information that concentrates on fault-finding and blame-fixing is worse than useless - it is paralyzing to both performers and supervisors.
- The Performance Appraisal lets the employee know whether his or her performance is satisfactory or unsatisfactory.
- **INDIVIDUAL DEVELOPMENT**

The Performance Appraisal identifies employee deficient areas which may require additional training and development.

SUPERVISOR EVALUATION

The Performance Appraisal helps you, the supervisor. Many supervisors find year-end performance reviews a trying task, and the major reason for feeling this way is that they have not spent enough time giving their employees feedback throughout the year. An employee’s reaction to the appraisal interview serves as an indicator to the supervisor how well he or she has been communicating with those under his or her supervision.

PERFORMANCE APPRAISAL AND THE LAW

Appraisal systems have come under the scrutiny of the law. For example, **Title VII of the Civil Rights Act, 1964 and Executive Order 11246**, prohibit discrimination in employment practices which includes decisions leading to hiring, promotions, terminations, layoffs, etc. on the basis of race, color, religion, sex, and/or national origin.

Also, the **Rehabilitation Act, 1973** prohibits employers who receive Federal Government contracts from discriminating against handicapped employees in hiring, promotions, terminations, and layoffs.

Although the **Pregnancy Discrimination Act, 1978** amended Title VII, it is important that supervisors understand that discrimination in employment practices which includes hiring, promoting, and layoffs against employees who are pregnant or likely to become pregnant is a violation of the law.

The **Age Discrimination in Employment Act (ADEA), 1978** protects employees between the ages of 40 and 70.

- It mandates that employment decisions be based on some criteria other than age.
- The ADEA states that if a “discharge is for just cause, age cannot be used as a discriminating reason.”

Many performance appraisal systems have been challenged in courts of law. There are perhaps thousands of court cases on record whereby an employee challenged a termination, denial of a promotion, or layoff. **In a majority of cases relating to performance, the employer has been successful in defending personnel decisions based on performance appraisal.**

On the other hand, in those instances where the court ruled in favor of the employee because of **discrimination, lack of documentation** or the **appraisal criteria** was used unevenly.

What have the courts viewed as a valid evaluation system? The courts examined the performance appraisal form to determine its level of subjectivity and to determine whether or not the evaluation was based on measurable criteria.

PREREQUISITES FOR AN EFFECTIVE PROGRAM

In order to be effective, a performance appraisal system must meet the following prerequisites:

1. **Mutual respect** is so important that its presence alone will dissolve many disagreements and difficulties and allow employee and supervisor to function cooperatively. Its absence, on the other hand, will doom any joint venture.
2. **Managerial style must be conducive to employee growth.** A supervisor who encourages and supports employee's efforts, and displays confidence in his or her ability to process. This creates a good climate for successful performance. However, if employees are bombarded with criticism and forced always to focus attention where they have fallen, their development will be suppressed.
3. **Employees must be receptive to suggestions for improving performance.** If the employee-supervisor relationship is poor, the employee may not be receptive to the most well-meant suggestion for performance improvement. However, this is not the only factor affecting the employee's receptivity. Differences in age, experience, personal rivalries, unusual work pressures or off-the-job pressures, and past experiences in the department can have a tremendous impact on how the employee reacts to feedback.

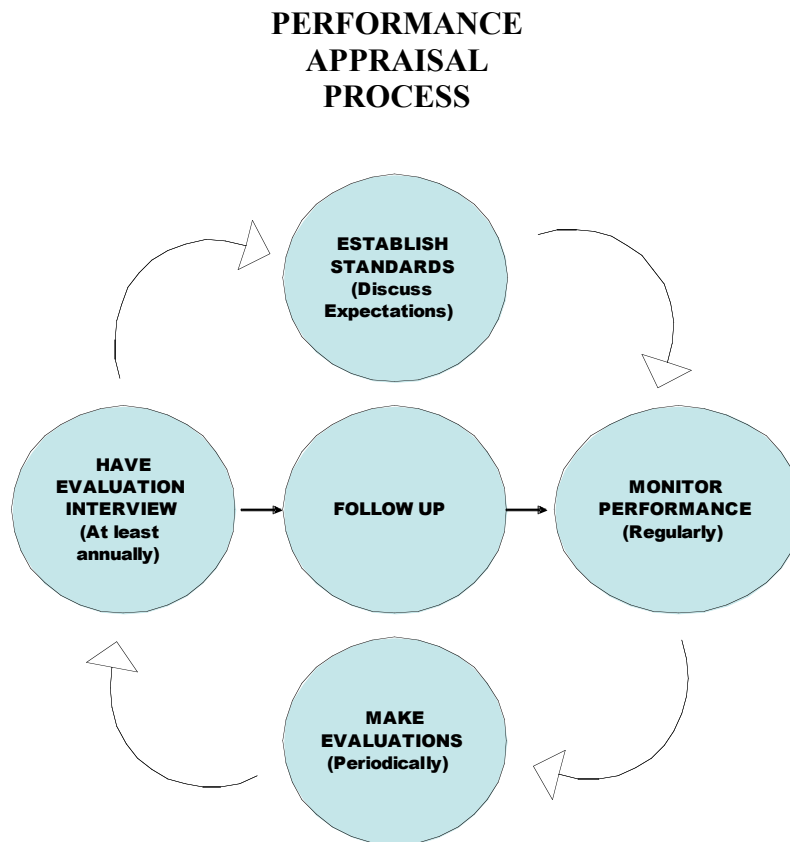
PERFORMANCE APPRAISAL PROCESS

THE JOB DESCRIPTION

Perhaps the best way to understand the Performance Appraisal process is to examine the process as a whole. As illustrated below, the performance appraisal is a **continuous cycle** repeated annually or when deemed necessary by the supervisor.

The Performance Appraisal process would be ineffective without a job description/position description.

To evaluate the employees' performance fairly, the employee must be cognizant of what you, the supervisor, expects from the employee. Therefore, the initial stage of the Performance Appraisal process should identify or establish work standards. The job description/position description should be used for this purpose.



MONITORING

After standards have been established, the supervisor must determine whether these responsibilities are carried out at an acceptable level.

Direct observation is one method of monitoring performance. Supervisors should endeavor to incorporate the following suggestions when monitoring performance:

- Remain as inconspicuous as possible when observing performance.
- Never give an employee the impression that you are looking over his/her shoulder.
- Feedback should be immediate. **Don't wait six months to tell an employee that he/she did an acceptable or unacceptable job.**

ACCENTUATE THE POSITIVE

Compliments give people what psychologists call “positive reinforcement.”

When someone performs a task (expected work behavior) and is rewarded by praise, that person is likely to repeat the behavior.

- Praise for good work adds to an employee's self-confidence.
- Praise can enhance performance if it is given skillfully and readily accepted.

TIPS ON GIVING PRAISE

- BE SPECIFIC – Describe what the employee did well.
- BE DIRECT – Don't send someone else to convey that a good job was done. If the person works for someone else, talk to both the supervisor and the employee.
- DO IT OFTEN – When appropriate, separate criticism from praise.
- DO IT PUBLICLY – If the opportunity presents itself, praise the employee openly.

CRITICISM vs. FEEDBACK

No criticism is constructive! Most of us hate to criticize others. Criticism **does not** motivate people. Careless criticism may produce a defensive reaction from the employee. The employee and supervisor then loses.

Criticism tells the employee about a problem, but offers no suggestions for improvement. The following are examples of destructive criticism:

“GET WITH THE PROGRAM.”
 “GET YOUR ACT TOGETHER.”
 “STRAIGHTEN UP AND FLY RIGHT.”
 “SHAPE UP OR SHIP OUT.”

An employee receiving the preceding criticism(s) is given NO VALID SUGGESTIONS FOR IMPROVING WORK BEHAVIOR. Thus, performance may continue to suffer.

GIVE POSITIVE FEEDBACK! State the problem in concrete behavioral terms. The following are examples of positive feedback:

“Getting to work on time is important”

“In order to prevent accidents, we must adhere to the safety rules.”

Positive feedback **never** attacks the person’s character. Always avoid statements like the following:

“John, you can’t do anything right.”
 “Why is your work so sloppy?”

Offer suggestions of what to do instead. Note what the employee has been doing and what he or she might do to improve.

DON’T IGNORE NEGATIVE BEHAVIOR

ENCOURAGE THE EMPLOYEE – An expression of your faith that the person will make necessary changes will go a long way. Bring out the employee’s motivation to try.

- **Tell** the employee about the problem area(s) (be specific).
- **Document** problem areas. Indicate the date of discussion. Include an anecdote of what was discussed.
- **Follow-up**
 Monitor the employee’s progress. Continue to give encouragement.

PREPARING FOR THE ONE-ON-ONE INTERVIEW

Careful preparation by the supervisor and employee helps both to obtain the maximum benefits of the performance interview and avoid an unproductive interview.

It is essential for the supervisor to study the employee's background and recent accomplishments/objectives. This entails the following steps:

1. Review the employee's job description/position description and update if necessary.
2. Review data from the individual's file (performance notes, results achieved, suggestions for improvement, etc.) to determine what direction the meeting will lead and what counseling will be necessary.
3. Review the performance appraisal form so that all points to be covered are considered in advance. Write down specific points to be covered during the meeting. This will give the meeting structure and keep the meeting on target and productive.
4. Give advance notice of an upcoming performance review to employees so they may prepare for it.
5. Allow the employee to do a self-appraisal.
6. Set up a convenient time for the meeting. Avoid setting tight of a schedule such as between two other closely scheduled meetings or thirty minutes before lunch or fifteen minutes before quitting time. Removing time pressures will be more conducive to an open discussion.
7. Be flexible. Your ratings of and employee should not be so rigid that they cannot be changed when given good justification for changes.

CONDUCTING THE PERFORMANCE REVIEW INTERVIEW

The appraisal is neither the beginning nor the end of the evaluation. It is the middle of the cycle that begins when an employee is hired to do a specific job and ends when the employee leaves it.

Every supervisor should recognize that the performance appraisal interview provides the supervisor with an opportunity to communicate openly with employees on the subject of performance.

Actually getting the interview started can be one of the most difficult parts of performance appraisal. Two suggestions:

Be yourself!
Be friendly!

Some authorities suggest that you engage in a bit of “small talk” before getting down to business, while others prefer to get right to the point of the meeting.

No matter which approach you use, the following points should be covered:

- Make the employee feel relaxed.
- Begin the interview with recognition of the employee’s strengths and end on a positive one (if at all possible).

As supervisor, you should tell the good things first and show appreciation of past successes.

- Explain why this discussion is taking place (even though you both already know).
- Explain how the interview will be handled and what role each of you will play. In other words as the supervisor, your role is to evaluate the employee’s performance for the noted appraisal period. The employee’s role is to assist in the process and to make a self-assessment.

Together you will develop strategies for improving weak areas as well as set goals for performance for the next appraisal period.

- Encourage the employee throughout the course of the interview to talk.

It is important for the supervisor to consider that an employee cannot effectively act to change or improve until the employee is personally convinced of the reality and the degree of his or her shortcomings. Therefore, the supervisor should lead the employee to see shortcomings so that the reaction is one of improved feelings and increased security.

Handling Feedback.

When feedback is to be presented, you should be sure the employee will be able to “save face”.

Here are a few tips to follow:

- Try to find something about the employee to praise before being critical of even the smallest weakness.
- Don’t attack the employee personally, “You should have”, “Didn’t you know...”
- Direct your comments toward a specific behavior, such as “turning reports in on time...” or “certain procedure must be followed when ...”
- Don’t dwell on past errors. Direct the discussion toward prevention of similar errors in the future.

- If you believe that you should take part of the blame, tell the employee so.
- Don't judge the rightness or wrongness in any matter when making a critical statement.
- Don't talk **down** to the employee.
- Never compare the employee with a third person.

RATER BIASES

We all have personal biases and preconceived notions based on our own experiences, beliefs, and values. If we are not careful, these biases can influence the way we evaluate performance of those under our supervision. It is impossible to eliminate rater biases, but it is imperative that they be controlled.

One possible means of minimizing rater bias in evaluating performance is to become aware of the most common rater biases. Some of the most recognizable biases are listed below:



HALO EFFECT

This is the tendency to rate a person who is outstandingly good on one factor high on all other factors. One factor unduly influences the other ratings.



HORNS EFFECT

This is the opposite side of the Halo Effect. It is the tendency to rate a person who is poor on one factor low on all other factors.

Reducing the Halo and Horns Effect

Ask yourself if the person being rated has done anything outstandingly good or bad in the past few months. If the answer is yes, be extra careful in your ratings.

Ask yourself if the person being rated has a very pleasant or unpleasant personality. Again if the answer is yes, be careful in your ratings.

CENTRAL TENDENCY

As the name implies, this error is the tendency of raters to avoid both high and low extremes, lumping all ratings in the middle category.

LENIENCY

Leniency basically amounts to inflating ratings. In other words, the rater is being “nice rather than honest.”

This occurs when a rater gives all high ratings. Positive leniency may give rise to unwarranted expectations of the employee for possible pay increases, promotions, or more challenging job assignments.

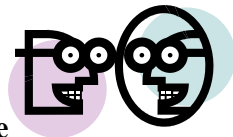
NEGATIVE LENIENCY

In this case, the rater gives all low ratings or a disproportionate number of low ratings.

Reducing the Central Tendency and Leniency Errors

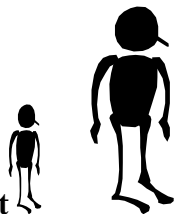
When you give an employee an “average” rating, ask yourself whether you are rating on the basis of actual performance or whether you really don’t know how well this person is performing.

If you rate 75 percent or more of the ratings for any person or group of people in the same category, ask yourself why.



Similar-to-me

Many raters have a tendency to give employees that are similar to themselves higher ratings on the basis of biographical backgrounds and attitudes.



Contrast Effect

This is the tendency to rate employees relative to each other rather than on the basis of the performance-evaluation criteria.

Reducing Similar-to-Me and Contrast Effect Errors

Try to avoid categorizing people. Ask yourself if you are rating the employee or a whole class of people, based on a stereotype.

Resist the urge to return to other employees' appraisal whom you have already rated and change their rating because you have just given a very high or very low rating to another employee.

Recency

This rater bias maybe positive or negative. The employee is rated solely on a recent work behavior. It could be that this employee has been a marginal worker throughout the appraisal period. However, because the employee did a good job on a recent report or assignment, his entire performance evaluation is based on this recent behavior.

Keep your personal biases in check when rating others.

1. Be sure to apply criteria fairly and consistently among employees rated. Give the benefit of the doubt to those you like least and double check yourself in rating those you may like more.
2. Keep an open mind. Be aware of the potential rating errors, leniency such as the halo effect, recency, and central tendency.



INTERVIEW CLOSING

During the final portion of the Performance Appraisal Interview, the supervisor and employee should attempt to summarize what has been said during the course of the appraisal interview session.

Each employee should leave the appraisal interview knowing what standards were used to evaluate his or her performance and how well he or she did in accomplishing the objectives and meeting standards. Attention should be given to the objectives for the next review period and the standards to be used for evaluation. If standards are the same as for the previous period, state so explicitly.

You and the employee will generally agree on most topics discussed. Agreement should be reached on needed development, what will be done to maintain or improve performance, and the resources needed to perform at the desired level.

Areas of disagreement should be acknowledged and discussed. Be sure to inform the employee of his or her right to appeal the appraisal (see Appeal Process in Handbook).

Once you have determined that the concerns on both sides have been expressed and that the employee understands and agrees to the “contract” for the next period, the interview is complete.

Goals beyond reach in the interview

You cannot make an unfavorable appraisal a pleasant one.

Sometimes it is impossible to transform a suspicious employee to a trustful one, a belligerent employee to a cooperative one, or a defensive employee to a self-critical one.

Handling excessively deficient performers

Let the employee who performs deficiently know exactly where he or she stands.

Point out that if you didn't think the performance could improve, you would fire the employee.

Tell the employee what he or she can do to improve.

If the employee shows a desire to improve, offer help

Handling top performers (those that exceed requirements)

Let the employee know you recognize and appreciate his or her performance.

Ask how he or she would like to develop further and what you can do to help.

SUMMARY



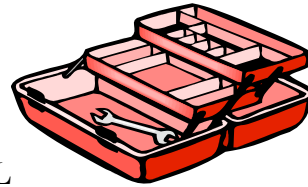
DO'S AND DON'TS

Do

1. Reassure your employee(s) by building on strengths.
2. Use the “we” attitude when discussing problems.
3. Be specific when discussing performance,
4. Keep the interview on track.
5. Try to draw the employee out by:
 - asking thought-provoking questions (not yes or no type); then listen.
 - restate or paraphrase his or her statements. Listen with frankness and real interest.
6. Talk about job results, not activities.
7. Function as a coach, not as an inspector; counsel, don't advise.
8. Summarize, plan for improvements and changes. Write down results.

Don't

1. Use negative words or too many negative criticisms.
2. Attack the employee personally.
3. Give insincere or excessive praise.
4. Use generalities that cannot be backed with specific examples.
5. Dominate the conversation.
6. Be or seem hurried.



TOOLS FOR BUILDING A GOOD APPRAISAL

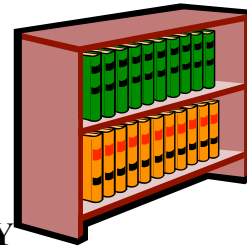
1. **FREQUENT COMMUNICATION** – Planned frequent communication and feedback on job performance helps overcome anxiety during the actual performance.
2. **A JOB DESCRIPTION/POSITION DESCRIPTION** – Describes principal duties, responsibility, and accountability.
3. **PERFORMANCE STANDARDS** – Conditions which will exist when a job is well done.
4. **SPECIFIC OBJECTIVES** – Mutually established by the supervisor and employee – targets which are realistic, measurable, and achievable within a given length of time.
5. **AN INCIDENT FILE** – Should contain clear, specific anecdotes of both positive and negative behaviors. These notes will assist in you conducting an effective performance appraisal interview.



PLANNING FOR THE APPRAISAL

*Things to consider:

- A. What results do you want to achieve from the appraisal?
- B. What contribution is the employee making?
- C. Is the employee working to his or her full potential?
- D. What training does he or she need?



BIBLIOGRAPHY

BOOKS

PERFORMANCE APPRAISAL: A GUIDE TO GREATER PRODUCTIVITY

Richard F. Olson. 1981 John Wiley & Sons, Inc., New York, NY.

EFFECTIVE MOTIVATION THROUGH PERFORMANCE APPRAISAL: DIMENSIONAL APPRAISAL STRATEGIES

Robert E. Lefton, Ph.D., V.R. Buzzotta, Ph.D., Manuel Sherberg,
Dean L. Karraker. 1980 Ballinger Publishing Co., Cambridge, MA.

THE APPRAISAL INTERVIEW GUIDE

Robert G. Johnson. 1979 AMACOM, New York, NY.

PERFORMANCE APPRAISAL: THEORY TO PRACTICE

Richard Henderson. 1980 Reston Publishing Company, Inc., Reston, VA.

INCREASING PRODUCTIVITY THROUGH PERFORMANCE APPRAISAL

Gary P. Latham and Kenneth N. Wexley. 1981 Addison-Wesley, Reading MA.

MANAGING: PERFORMANCE APPRAISAL PROCESS WORKBOOK

Lyle Yorks. 1983 Drake, Beam, Morin, Inc., New York, NY.

PERFORMANCE APPRAISAL AND HUMAN DEVELOPMENT: A PRACTICAL GUIDE TO EFFECTIVE MANAGING

Howard P. Smith, Ph.D. and Paul J. Brouwer, Ph.D. 1977 Addison-Wesley
Publishing Co., Reading, MA.

THE PERSONNEL MANAGER'S HANDBOOK OF PERFORMANCE EVALUATION PROGRAMS

S.E. Parnes. 1981 Bureau of Law & Business, Inc., Stamford, CT.

PERFORMANCE APPRAISAL: LEGAL ASPECTS

J. Vernon Odom. 1979 Center for Creative Leadership, Greensboro, NC.

PERFORMANCE APPRAISAL: PROMISE AND PERIL

Elaine F. Gruenfeld. 1981 Cornell University, Ithaca, NY.