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OFFICE OF HUMAN RESOURCES

Human Resources

Performance Appraisal

Reference Guide

Human Resources Performance Appraisal Reference Guide

One of the most successful methods of getting the very best out of your employees is to let them know how they are doing. When an employee exceeds your expectations, that employee should be rewarded. Even a simple acknowledgment of hard work can go a very long way.

Sometimes employees need assistance in one or more areas of their job. They may work very hard, but cannot seem to grasp some basic concept or task. It is your responsibility as their manager to assist them with this problem and to help them find a solution.

The annual performance appraisal can help you to do both of these tasks. A performance appraisal is more than just a form that needs to be filled out every year. It is an opportunity for you and your employees to discuss successes over the past year, as well as help employees' correct mistakes.

The performance appraisal is designed to help you accurately evaluate an employee's performance, list strengths and weaknesses of the employee and set written goals for the upcoming year. When used properly, the performance appraisal can be a great tool in helping you better communicate with your staff.

To maximize its effectiveness, take time to accurately fill out the appraisal. Reward employees who exceed your expectations and inform employees when they need to do better.

Be honest in your evaluations. A good employee who consistently performs all of the tasks of his/her job should score mostly threes in the job elements. The employee is doing what is expected of him/her. When an employee exceeds your expectations, mark a four. When an employee's performance is outstanding, so much so that he/she is ready for additional responsibilities, mark a five.

In a case where the employee's performance needs some improvement, he/she should receive a two. When an employee fails to meet your expectations, he/she should receive a one. In these cases, you should work with the employee to identify the problem and to find a solution.

There are eleven different job elements listed on the performance appraisal. These elements are divided so you can evaluate specific aspects of an employee's performance. One employee, for example, may consistently produce high quality work. He/she should receive a three or four in this category. However, the employee spends so much time on certain tasks that the quantity of work suffers and you find yourself having to distribute work you'd have liked him/her to have done. Here, the same employee should receive a two.

To the right of the job element ratings is a box for comments. This is an opportunity for you to be specific about the element in discussion. Both positive and negative points should be written in this area. This will allow the employee to understand the reasoning behind the rating. Use specific situations as examples, or give a general overview of the employee's performance. **When a supervisor assigns a performance rating of one, two, four or five, this must be documented using the supervisor's comment area or a separate sheet of paper.**

Managerial Elements

These six elements are to be used for employees who are in managerial or supervisory positions.

Budget

In any organization, meeting budget is important. This fact is magnified in a non-profit organization. How does the manager use financial resources? Is the manager cost-conscious? Spending money the College does not have, no matter what the reason, hurts the College's mission.

Staff Development

New employees require training to be able to successfully perform their jobs. Experienced employees may require continued development and coaching. Giving employees additional responsibilities as warranted, is an example of successful staff development. Managers who continuously evaluate their employees' performance should be noted here.

Supervisory Responsibilities

A manager who successfully delegates work to meet the needs of the department should rate well in this element. How does the manager supervise the department? The overall performance of the department should be taken into consideration when evaluating this element.

Leadership

Effective leadership is an important trait of the manager. A good leader has his/her department acting as a team. A good leader works well with other departments. Cause for concern in the leadership element might be high turnover or a disproportionately high number of employees seeking transfer.

Decision Making

The manager's judgment in a supervisory capacity should be evaluated here. Does the manager make clear decisions that are consistent with the goals of the department and with the College's mission?

Personnel Utilization

This ties in directly with Supervisory Responsibilities. A manager should be able to assign work to employees according to their abilities. In doing so, the department can run more efficiently and effectively.

Job Elements

Job Knowledge

An employee must know what to do every day at work. It is the responsibility of the employee to understand what it is he/she is doing and how to do it. This encompasses a wide range of subject matter. The employee should be aware not only of the basic functions of the position, but also the rules and objectives of the department and of the College.

How much does the employee know about the basic functions of his/her position? If the position requires knowledge of certain software, how proficient is the employee on that software? Does the employee understand what is expected of him/her every day? These are some questions to think about when determining the rating of job knowledge.

Quality of Work

Quality of work is essential not only to the individual's performance, but to the overall performance of the department and the College. When an employee consistently performs high quality work, it is reflected to the department and College. Use this element to rate such areas as thoroughness, neatness, accuracy and adherence to instruction and policy.

When an employee consistently follows up on business, note that here. Also note such points as grammar and spelling on correspondence, neatness of the workplace and ability to produce high quality work even under strict deadlines.

Quantity of Work

The employee was hired to perform specific assignments accurately and timely. If an employee does not have enough work to do, it is the supervisor's responsibility to delegate more work. This is where to rate how much work the employee can handle while maintaining the quality of work. This element is tied directly to quality.

Initiative

When an employee consistently volunteers for new assignments, note that here. Also, if an employee looks to improve the methods of performing job duties, note that in this element.

Employees who are self-starters should rate well here.

Adaptability

Job assignments, work environment, and volume of work are all examples of what can and will change over the course of the year. To be able to adapt to these changes is a quality worthy of rating. When an employee willingly works through any changes in their work assignments or environment, note that in this element.

If an employee is unwilling to make adaptations, that should also be noted here.

Communication

There are three areas of communication to evaluate: verbal, written and listening skills. Evaluate employees based on their success or failure to communicate with you and with their fellow coworkers. Communication is a vital element in building a successful team of employees.

Judgment

All employees must make decisions every day of their career. Employees who analyze problems and can accurately solve those problems should be noted here. Does the employee consistently make sound business decisions? Does the employee offhandedly and react irrationally to unexpected problems?

Responsibility

If an employee is due to report to work at 9:00am, then he/she should be at his/her workstation *by* 9:00am. Employees who are consistently early and ready for work on time should get noted here. Employees who accept responsibility for their actions should also be noted here. A good way to determine how to rate this element is by analyzing how an employee reacts when he/she has made a mistake.

Professionalism

Different positions require different codes of dress. An employee should dress in an appropriate manner, particularly when working with students and alumni. All employees must follow the code of conduct outlined in the *Employee Handbook*. Employees are also responsible for making a commitment to the College mission. Evaluate these traits in the professionalism element.

Organization of Work

Organized employees consistently set priorities and arrange work schedules. Meeting deadlines and following up on tasks are indications that an employee is organized. If an employee misses deadlines or is late for meetings he or she may need to work on their organizational skills.

Teamwork

Cooperation and teamwork are crucial to the success of a department. Does the employee have these traits? An employee who shows enthusiasm for his/her job should rate well here. Employees who get along well with coworkers should be commended for their efforts. Balance individual responsibilities, as well as department and college objectives.

Continuous Improvement

The employee should actively work to improve his/her job skills and knowledge and the College mission through his/her role. Responds well to new ideas and organizational changes.

Regulatory Compliance

It is increasingly important that employees are aware of and in compliance with the many laws, rules and regulations put in place by various governing bodies (i.e. State and Federal agencies, the IRS, NCAA, Middle States, etc.) as well as the College. Employees who are proactive in compliance efforts will do well here.

Overview

Now that you've completed the specifics of the employee's performance, it is time to look at the bigger picture. On page three of the appraisal, you will find a place for comments on the employee's overall strengths and weaknesses and performance goals for the upcoming year.

Comments in the strengths and weaknesses lines should be consistent with your evaluation. If an employee is a five in judgment and in organization, write that in the strength column. If the employee needs to work on quality of work, note that in the weaknesses column.

It is important to list the goals you have for the employee for the following year. This is for two reasons. First, this gives the employee a clear picture of what is expected of him or her. Second, it allows you to have a basis for next year's evaluation. Goals should be reasonable and job-oriented.

Below the performance goals section is a place to check the employee's overall performance. Be consistent with your evaluation. An employee who rates threes in all categories should be marked satisfactory. When an employee scores mostly fives, he/she should be marked outstanding. Check the box that is most consistent with your overall evaluation.

If the employee's performance is not satisfactory, check the box where it states "performance needs improvement, re-evaluate in _____ months," and give the employee a reasonable amount of time to improve performance.

Should you find that the employee has rated mostly ones, check the box next to "performance is unsatisfactory" and call Human Resources for assistance.

Review the evaluation with the employee. Discuss every job element, why you checked off the rating you did, and discuss your comments. Allow the employee to share his/her views on the subject. Remember, the appraisal should be a two-way communication.

If the employee is in a supervisory position, review the managerial elements. Use this time to assist the employee to become a better manager. Suggest ways to establish a team effort in the department. Again, allow the employee to share his/her views.

The employee must sign the appraisal after you have completed your evaluation. Underneath the signature is an area for the employee to write comments. Encourage the employee to participate in the evaluation by providing comments in this section.

The appraisal should also be signed by you. The department head and the Dean or Vice President of your area must also sign the evaluation. A copy of the signed evaluations should be sent to the Human Resources Office to be placed in the employee's personnel record.

If you have any questions about the performance appraisal, call the Human Resources Department at extension 2446.

Employee's Self-Evaluation

The employee is required to conduct a self-evaluation by filling out the gray area on form #122. If a certain area does not apply, then the employee should go to the next applicable area.

When an employee completes his/her Self-Evaluation, a rating of four or five must be documented, otherwise the number will be disregarded. The employee should use a separate sheet of paper for comments.

Department Heads are required to use the employee's self-evaluation as a platform and then assess the employee on all applicable categories.

Employee Comments & Signature

The employee should complete the questions in this final section.