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Performance Appraisal

Periodic performance reviews should be conducted for each staff member. The performance appraisal is a very useful tool for the supervisor and staff member to review an employee's performance and summarize goals. We recommend that you conduct at least an annual review, however, supervisors should be encouraged to conduct reviews whenever an employee's positive or negative performance warrants formal documentation. Many state licensing agencies require at least one written performance appraisal annually. You should consult your state regulations to insure compliance.

Provisional employees should receive a performance appraisal at least once before the end of the provisional period. We would recommend that the provisional employee be appraised twice, about midway through the provisional period and again just before the end. It is often difficult to rate the provisional employee in the same manner as other employees, therefore, we have developed a performance appraisal form to use for provisional employees.

The performance appraisal policy will formulate the time frames for appraisal, and your manual's appendix should include a copy of the form which your agency will utilize when conducting the review. The performance appraisal should be based upon the job description. The format for the performance appraisal for all employees should be basically the same. We have attached a sample performance appraisal form to this chapter to give you some suggestions.

Performance review is often a difficult task for supervisors. Supervisors are sometimes overwhelmed with doing appraisals for all of their staff at the same time. Staggering the time for appraisal will help eliminate this problem. Supervisors should be encouraged to consider the benefits of discussing an employee's progress and charting a course for the future more often. Performance reviews should occur regularly and supervisors should review the goals established at the annual performance appraisal and discuss the progress made towards the goals.

We suggest that each supervisor be required to obtain her/his supervisor's signature on the performance appraisal before it is discussed with the employee. This hierarchical approach will assure the immediate supervisor's superior that the review accurately reflects an employee's performance and presents a unified position to the employee. It will also give a reluctant evaluating supervisor the opportunity to discuss the appraisal before meeting with the employee. In addition, it will ensure accuracy. Many supervisors find it easier to simply praise employees during the appraisal process. This may compromise an employer's position when an employee is fired for poor performance yet their personnel record is full of appraisals containing praise. Be sure that performance appraisals accurately reflect the job as performed by the employee. Otherwise this valuable tool may be used against you in a wrongful termination suit.

Encourage supervisors to use the performance review to communicate with employees. It presents an opportunity to find out what goals employees want to establish for themselves and what the supervisor can do to assist them in attaining those goals.

Many agencies use a self-appraisal as part of the performance appraisal process. There are opposing opinions on this process. In the spirit of compromise we have developed an Employee Survey which you might consider in lieu of the self-appraisal. The survey will help promote discussion between the employee and supervisor during the appraisal meeting, yet it is not the routine self-appraisal which often places the supervisor in the position of defending the appraisal they are presenting to the employee.

Employees must to sign the Performance Appraisal Form. The form will have 3 options for signature:

- I have read, reviewed, and agree with the Appraisal; or
- I have read, reviewed, and disagree with the Appraisal (this option requires the employee to attach written comments); or
- I have read and reviewed the Appraisal and neither agree nor disagree.

When an employee refuses to sign the Performance Appraisal, another employee will be asked to witness the refusal.

Performance Appraisals will be forwarded to [EXECUTIVE DIRECTOR/DIRECTOR/HUMAN RESOURCE MANAGER] for review.

All employees will receive a copy of their Performance Appraisal. Performance Appraisals will be placed in the employee's personnel record.

PERFORMANCE APPRAISAL FORM INSTRUCTIONS

1. Provide the employee with the Survey Form prior to the scheduled Performance Appraisal meeting. Utilize the employee's responses on this Form to initiate discussion during the Performance Appraisal meeting.
2. Complete the Performance Appraisal Form.
3. Submit completed form to your supervisor for review and signature.
4. Schedule a Performance Appraisal meeting with the employee.
5. Forward the entire completed Performance Appraisal to the [EXECUTIVE DIRECTOR/DIRECTOR] for signature. The Performance Appraisal will be placed in the employee's personnel record and a copy will be forwarded to the employee.
6. The Survey will be reviewed for training purposes and placed in the employee's confidential personnel record.

EMPLOYEE SURVEY FORM

The purpose of this Form is to help you think about yourself in relation to the job you have now, and the future.

This Survey will be given to you prior to your scheduled Performance Appraisal meeting. Bring the completed Survey with you to the meeting to share with your supervisor. This information will be used to plan future training and to set your goals for the coming year.

After you and your supervisor have reviewed the completed survey, the information will be forwarded to the Human Resources Manager for review and will be placed in your personnel record.

Please complete the following prior to your scheduled Performance Appraisal meeting with your supervisor:

1. How long have you been employed by the program?

2. Are you satisfied with your education, or would you like to improve it in some way? Please explain.

3. What are some of the skills you feel you have learned since your last performance appraisal?

4. What are your accomplishments since your last performance appraisal?

5. What do you like most about your work?

6. We understand that working conditions are not always perfect. Is there anything you do not like about your work? Is there anything the agency can do to improve this? Please be specific.

7. Is there anything you need that you feel would help you do a better job? Please be specific.

8. Are you satisfied with the type of assignments you are performing? Is there anything that you would like to learn more about or learn to do better?

9. Are there some new skills you would like to learn to do as a part of your work?

10. Would you like the opportunity to get more training? If yes, in what areas?

11. What would be the goals you would set for yourself in the coming year?

PERFORMANCE APPRAISAL FORM

1. **JOB PERFORMANCE:** Using the employee's job description please rate each of the duties and responsibilities using the following scale:

- M - Meets Job Requirements**
- E - Exceeds Job Requirements**
- N - Does Not Meet Job Requirements**

Ratings of Exceed and Does Not Meet Job Requirements will require comments.

2. **NARRATIVE:** (Attach additional sheets where necessary.)

- A. Review the last Performance Appraisal goals with employee. Have these goals been met? If not, what can be done to attain them?

- B. Establish goals for the coming year. Be specific. State what action the employee and supervisor need to take to attain these goals.

- C. Does the employee show any specific strengths in the performance of her or his duties?

- D. Please comment on any Duties and Responsibilities which received ratings of Exceeds or Does Not Meet Job Requirements. Please cite examples, if appropriate.

- E. Other specific comments:

3. **SIGNATURES:**

SUPERVISOR: _____ DATE: _____

YOUR SUPERVISOR: _____ DATE: _____

EMPLOYEE (PLEASE SIGN ON THE APPROPRIATE LINE):

I have read, reviewed, and agree with the Appraisal.

_____ DATE: _____

I have read, reviewed, and disagree with the Appraisal. (This option requires the employee to attach written comments.)

_____ DATE: _____

I have read and reviewed the Appraisal and neither agree nor disagree.

DATE: _____

PROVISIONAL EMPLOYEE APPRAISAL

NAME: _____ POSITION: _____

Employment Site: _____ Appointment Date: _____

- Review the employee's job description. Does the employee have an understanding of her or his duties and responsibilities?
 Yes No

If no, please explain:

- Please rate each of the qualities listed below separately:

	Satisfactory	Unsatisfactory	Unable to Rate	Training Recommended
Quality of Work:	_____	_____	_____	_____
Quantity of Work:	_____	_____	_____	_____
Suitability for the Position:	_____	_____	_____	_____
Attendance:	_____	_____	_____	_____
Dependability to Perform Assigned Duties:	_____	_____	_____	_____
Maintains Confidentiality:	_____	_____	_____	_____
Applies Agency Policies and Procedures:	_____	_____	_____	_____

If you checked "Training Recommended" in any of the above areas, please explain the type of training you recommend. Please be specific.

- Recommendation:

Do you recommend that this provisional employee be continued as a regular employee?
 Yes No

If no, please check one of the following:

Release Extend Provisional Period

Please explain:

SUPERVISOR: _____ DATE: _____

[EXECUTIVE DIRECTOR/DIRECTOR]: _____ DATE: _____

(Must be signed prior to presenting to employee.)

EMPLOYEE: _____ DATE: _____