BusinessManagement DAILY

PERFORMANCE REVIEWS: A COMPLETE HOW-TO GUIDE

with 79 Appraisal Forms and Tools

Forms

Form Career Development Discussion Guide

Employee:

Department:

Reviewed by:

Date:

Instructions

This form serves as a guideline for employees and supervisors to jointly plan and review each employee's objectives and commitments for job performance. Direct and open communication about all aspects of the employee's current performance is essential. This discussion must relate the employee's performance to the achievement of specific goals and the completion of particular tasks.

Fill out the Job Accomplishments and Results section first. Review and discuss the employee's performance. At the same meeting, discuss and agree upon future goals and commitments. Reviewing previous objectives and planning to meet new goals is essential to the performance appraisal process. This form is intended for confidential use by employees and their supervisors.

Job Accomplishments and Results

Assess results according to these codes:

A: Exceeded goal
B: Fully met goal
C: Continuing progress toward goal
D: Failed to meet goal

For scores of A or B, the comment block should highlight the positive factors that led to the success. When the goal has not been fully met, describe the problem and possible corrective actions. Factors to consider include the employee's use of available skills, deficiencies in knowledge or skills, unforeseen factors, and changed priorities.

Accomplishment	**Results**
Discussion:	

Accomplishment	**Results**
Discussion:	

Accomplishment	**Results**
Discussion:	

Goals and Commitments

Objective:

Standards and results desired:

Benchmark and completion dates:

Objective:

Standards and results desired:

Benchmark and completion dates:

Objective:

Standards and results desired:

Benchmark and completion dates:

Objective:

Standards and results desired:

Benchmark and completion dates:

Career Development Plan

Identify the activities and resources needed to achieve the objectives described in the previous section.

What steps will the employee take to ensure meeting the objectives?

What assistance will the immediate supervisor provide?

What support is needed from the other parts of the organization?

What future career development should be considered?

Employee's signature: _____

Form Employee Pre-Appraisal Performance Assessment

Date of last review session:

Date of upcoming review session:

1. Performance goals agreed upon during last review:

A:

Did I achieve this goal? If not, how close did I come to achieving it?

B:

Did I achieve this goal? If not, how close did I come to achieving it?

C:

Did I achieve this goal? If not, how close did I come to achieving it?

D:

Did I achieve this goal? If not, how close did I come to achieving it?

E:

Did I achieve this goal? If not, how close did I come to achieving it?

F:

Did I achieve this goal? If not, how close did I come to achieving it?

2. Performance problems or disappointments I've experienced since my last review:

A:

B:

C:

3. My greatest performance weaknesses are:

I plan to improve these weaknesses by:

4. Since my last review, I have learned:

Specific areas of personal development include:

5. My immediate supervisor can help me to improve my current performance by:

6. If I could change how my department and/or the company operates, I would change these areas:

A:

B:

C:

Form Intermediate Performance Assessment

Employee:		Date:	
Job Title:			
Performance Areas	**Satisfactory**	**Needs Some Improvement**	**Significant Improvement Needed**
Quality of work			
Quantity of work			
Customer relations			
Writing skills			
Presentation skills			
Initiative			
Willingness to ask questions			
Problem-solving skills			
Application of technical knowledge			

Specific examples of weak areas:

Suggested remedies for weak areas:

Specific examples of strong areas:

Form Letter for Performance Improvement Plan

[Date]

[Employee]

[Address]

Dear [Employee],

As a result of your unsatisfactory performance during the past [Number] months and your failure to correct this problem after several warnings, you are now being placed on a formal [Number]-day performance improvement plan.

I have scheduled a counseling session on [Date] to meet with you to discuss the specifics of the performance improvement plan. Additionally, I would like to assure you that I will be available for discussions and counseling at any time during this improvement plan. Failure to correct this situation may result in termination of your employment.

Supervisor:	Date:
HR representative:	Date:

Form Managerial Assessment

(If you wish to use this document as part of the 360-degree process, distribute it at the same time you distribute the Managerial Self-Assessment. Before meeting with the manager to discuss his/her performance and self-appraisal, compute an average score for each area of the Managerial Assessment. For areas that show a great discrepancy between this assessment and the self-assessment, ask the manager for an explanation during the appraisal interview.)

Date:

Instructions: For each behavior described below, give your honest assessment of your manager's performance.

Scale: 5: Always
4: Usually
3: Occasionally
2: Seldom
1: Never

Managerial Behavior	Score
1. I have no trouble getting my manager's attention if I have a problem or need.	
2. If I make an honest mistake, my manager's first reaction is not to criticize, but to try to help me learn from it.	
3. My manager deals with me professionally and fairly.	
4. When I need an answer in order to finish a job, my manager is quick to make a decision.	
5. My manager reprimands me only if he/she is satisfied it is fair and company policy calls for disciplinary action.	
6. My manager helps me set, and meet, reasonable performance goals.	
7. I can count on my manager to back me up when necessary.	

Managerial Assessment (continued)

Managerial Behavior	Score
8. My manager works hard to make sure that I am well compensated for my work.	
9. My manager holds regularly scheduled performance reviews with me.	
10. My manager has realistic expectations of my performance.	
11. When my manager delegates a task to me, he/she provides the authority to carry it out along with the responsibility.	
12. If there is a problem with my performance, my manager only criticizes the problem, not me as a person.	
13. My manager gives me a balanced view of my performance by providing both positive and negative feedback.	
14. My manager checks in with me, even when there is not a specific problem.	
15. My manager praises me for good work.	
Comments:	

Form Managerial Self-Assessment

Date:

Instructions: For each managerial support behavior described below, give your honest assessment of your own performance. Put a checkmark next to those behaviors that you feel are particularly important to a manager's effectiveness.

Once you have received the average scores given by your 360-degree raters, place their scores in the appropriate places and compare their perceptions with yours.

Scale: 5: Always
4: Usually
3: Occasionally
2: Seldom
1: Never

My Behavior	My Score	Average 360-Degree Score
1. My employees have no trouble getting my attention if they have a problem or need help.		
2. If employees make an honest mistake, my first reaction is not to criticize, but to try to help them learn from it.		
3. I deal with all of my employees professionally and fairly.		
4. When an employee needs an answer in order to finish a job, I am quick to make a decision.		
5. I will reprimand an employee only if I am satisfied it is fair and company policy calls for disciplinary action.		
6. I help my employees set, and meet, reasonable performance goals.		
7. My employees can count on me to back them up when necessary.		

My Behavior	My Score	Average 360-Degree Score
8. I try to make sure that my employees are well compensated for their work.		
9. I hold regularly scheduled performance reviews with my employees.		
10. I have realistic expectations of my employees' performance.		
11. When I delegate a task, I provide the authority to carry it out along with the responsibility.		
12. If there is a problem with an employee's performance, I criticize only the problem behavior, not the employee as a person.		
13. I give my employees a balanced view of their performance by providing both positive and negative feedback.		
14. I check in with individual employees, even when there is not a specific problem.		
15. I praise my employees for good work.		

Overall rating of the quality of my managerial support skills (circle one number below):

Very high 10 9 8 7 6 5 4 3 2 1 Very low

Note: A score of 1 or 2 may require your immediate attention, as they can be indicators of low support skills.

Form Model Performance Appraisal Form

Date:

Employee:

Department: Position:

Period covered by this review: From: To:

Manager:

Purpose Of This Evaluation & Development Review

Evaluating The Past

Part I is the general evaluation OF PAST PERFORMANCE section; its focus is the past performance of the employee (the time period covered by this appraisal). Performance is evaluated on both specific and general job performance areas.

Assessing Employee Performance Potential

Part II is the DEVELOPMENT section; its focus is on job accomplishments and on how well the employee met performance goals from the previous appraisal period. The achievement of past goals and job accomplishments (or lack thereof) indicate the employee's current strengths and development needs.

Summarizing Overall Performance

Part III is the OVERALL PERFORMANCE RATING section; its focus is on looking at each segment of the employee's performance and reaching an overall performance rating. This section allows both the employee and the manager to make comments about both individual assessments area, as well as the overall assessment rating.

Setting Future Performance Goals

Part IV is the FUTURE GOALS section; its focus is on setting goals to be achieved before the next review, including the strategies to be implemented for the future development of the employee, as well as any corrective actions needed.

PART I — General Evaluation of Past Performance

Instructions: Select and define the job performance areas (JPAs) that are critical to the successful performance of the job. There may be only a few key ones, or as many as 10. These should be both job-specific areas and general performance areas. Tailor JPAs to your organization's job standards and requirements. (**Note:** Five general JPAs are provided. You can use them as is, tailor them to your needs, or subtract and add others.)

Give each JPA a weighted percent number indicating its importance in achieving job success. **Note:** The total of all JPA percentages, both specific and general, must equal 100%. Next, use a rating scale (5 = highest; 1 = lowest) to rate each employee on each JPA. In order to explain the reasoning behind each specific job area rating, define the performance level required to reach each rating level. Then, multiply the JPA weight by the employee rating. (**Example:** Initiative weight 30% x rating 3 = points 90.) The total will give you a benchmark to evaluate and compare employees. The maximum number of points an employee can achieve with 10 JPAs is 500.

JPA	Weight	× Rating	= Points
Specific 1. A. Outstanding = 5 and defined as: B. Above average = 4 and defined as: C. Average = 3 and defined as: D. Below average = 2 and defined as: E. Unacceptable = 1 and defined as:			
2. A. Outstanding = 5 and defined as: B. Above average = 4 and defined as: C. Average = 3 and defined as: D. Below average = 2 and defined as: E. Unacceptable = 1 and defined as:			

JPA	Weight	× Rating	= Points
3. A. Outstanding = 5 and defined as: B. Above average = 4 and defined as: C. Average = 3 and defined as: D. Below average = 2 and defined as: E. Unacceptable = 1 and defined as:			
4. A. Outstanding = 5 and defined as: B. Above average = 4 and defined as: C. Average = 3 and defined as: D. Below average = 2 and defined as: E. Unacceptable = 1 and defined as:			
5. A. Outstanding = 5 and defined as: B. Above average = 4 and defined as: C. Average = 3 and defined as: D. Below average = 2 and defined as: E. Unacceptable = 1 and defined as:			
		Total for Specific JPAs:	

JPA	Weight	× Rating	= Points
General For each of the five categories below, use the following rating scale: Outstanding = 5 Above average = 4 Average = 3 Below average = 2 Unacceptable = 1			
6. **Job knowledge** Defined as: Comments:			
7. **Dependability** Defined as: Comments:			
8. **Initiative** Defined as: Comments:			
9. **Adaptability** Defined as: Comments:			
10. **Cooperation** Defined as: Comments:			
Total for General JPAs:			
Total for Both Specific and General JPAs:			

PART II — Development

1. List important **job accomplishments** since the last performance appraisal. Each success suggests what key performance strengths?

   A.

   Strength(s):

   B.

   Strength(s):

   C.

   Strength(s):

   D.

   Strength(s):

   E.

   Strength(s):

*Overall **job accomplishment** rating:*

☐ Outstanding ☐ Above Average ☐ Average ☐ Marginal ☐ Unacceptable

2. List the **performance goals** agreed upon at the last review. After the goal, indicate whether the employee surpassed, met, or failed to meet the goal.

   A.

   ☐ Surpassed ☐ Met ☐ Failed to meet

   B.

   ☐ Surpassed ☐ Met ☐ Failed to meet

   C.

   ☐ Surpassed ☐ Met ☐ Failed to meet

D.

☐ Surpassed ☐ Met ☐ Failed to meet

E.

☐ Surpassed ☐ Met ☐ Failed to meet

*Overall achievement of **performance goal** rating:*

☐ Outstanding ☐ Above Average ☐ Average ☐ Marginal ☐ Unacceptable

Part III — Overall Performance Rating

1. Total points from **both Specific and General JPAs** in Part I:
   - ☐ Outstanding: 500–400 points
   - ☐ Above Average: 399–300 points
   - ☐ Average: 299–200 points
   - ☐ Marginal: 199–100 points
   - ☐ Unacceptable: 99 points and below

2. Overall **job accomplishment** rating (as indicated in Part II):

☐ Outstanding ☐ Above Average ☐ Average ☐ Marginal ☐ Unacceptable

3. Overall achievement of **performance goal** rating (as indicated in Part II):

☐ Outstanding ☐ Above Average ☐ Average ☐ Marginal ☐ Unacceptable

4. **OVERALL ASSESSMENT**

After reviewing both specific and general job performance areas, job accomplishments, and the achievement of past performance goals, the employee's overall performance is rated as:

☐ Outstanding ☐ Above Average ☐ Average ☐ Marginal ☐ Unacceptable

Manager comments:

Employee comments:

Part IV — Future Goals

1. For any previously agreed upon goals the employee failed to meet by this appraisal period, outline the necessary corrective actions. (If the employee is already on a performance improvement plan, insert the mandatory actions from the plan itself into the chart below.)

Failed Goal	Corrective Action	Progress Will Be Reviewed On	Improvement Must Be Seen By	Employee Role	Manager Role

2. During the next appraisal period, the employee will aim to meet these goals.

Goal	Implementation Method	Employee Role	Manager Role

Manager signature: Date:

Employee signature: Date:

Form Performance Appraisal Checklist

Before The Appraisal Interview

- ☐ Prepare for the interview by filling out the appraisal form and setting objectives for the interview, including areas you think the employee should improve.
- ☐ Check the appraisal form for accuracy and completeness. Don't leave comment sections blank. Write something meaningful and specific to the employee's performance. Be wary, though, of making the comments too vague or too specific or writing something from which the employee could draw an erroneous conclusion.
- ☐ If you've skipped certain criteria on the appraisal form, check that you have a solid business reason for doing so. For example, not evaluating an employee who works by himself on teamwork skills.
- ☐ Find a private place to conduct the interview where interruptions and phone calls are unlikely.
- ☐ Select a seating arrangement that will encourage discussion by presenting you as a helpful counselor, rather than an authority figure.
- ☐ Choose a time that will facilitate a proper interview. Generally, mid-morning is the ideal time.

During The Appraisal Interview

- ☐ Keep the interview focused on comparing the employee's performance with the standards and goals previously established.
- ☐ Review performance standards early in the meeting.
- ☐ Discuss disagreements, and take legitimate mitigating circumstances into account when making your final evaluation.
- ☐ Make your final decision and explain how you reached it. Tell the employee how to appeal your judgment if he/she disagrees.
- ☐ Review expected corrections to performance problems in detail, making sure the employee knows exactly what to expect.
- ☐ Make a note of corrections on the appraisal form and have the employee sign it.

Performance Appraisal Checklist (continued)

- ☐ Listen to employees who have an inclination to talk and attempt to draw out conversation in employees who are not as forthcoming.
- ☐ Use the silent treatment to inspire employees to speak, and keep the conversation directed to the appraisal process.
- ☐ Ask open-ended questions that require thoughtful responses.
- ☐ Offer reticent employees a choice when asking questions in an attempt to elicit extended responses.
- ☐ Restate what the employee has told you to get the employee to expand on a complaint, to show that you care and have been listening to what the employee has to say, and to make sure you have heard the problem correctly.
- ☐ Link employee performance goals directly to company goals.

After The Appraisal Interview

- ☐ Provide a steady stream of feedback outside the annual performance appraisal interview.
- ☐ Empower employees to set their own performance goals through the year.
- ☐ Give employees the direction and guidance they need to correct performance weaknesses, but don't dwell on them.
- ☐ Keep track of feedback concerning the employee's performance that comes from co-workers, subordinates, and customers.
- ☐ Connect results to rewards to show the tie between improved performance and personal satisfaction.
- ☐ Provide employees with the tools and skills needed to succeed, e.g., training, equipment.
- ☐ Solicit specific feedback by asking employees how they will complete new projects and incorporate them into their other responsibilities.
- ☐ Communicate on regular basis what the employee has done wrong, as well as mention what the employee has done right.
- ☐ Give examples of both positive and negative performance results.
- ☐ Conduct formal performance interviews on a regular basis.

Form Performance Appraisal Follow-Up

Employee: Manager:

Today's date: Date last appraised:

Part I—Progress Since Last Appraisal

Area(s) employee agreed to improve on:

Progress made:

Reason(s) for any difficulties:

Part II—Plan For Further Progress

Area(s) employee should continue to work on:

Specific steps employee can take:

Specific steps manager can take to assist employee progress:

Form Performance Evaluation for Non-Supervisory Employees

Employee:

Job title: Time in present position:

Date of evaluation: Date of last review:

Instructions

1. Conduct a comprehensive review of the employee's performance. Avoid basing judgment on isolated events only, but rate one factor at a time.
2. Review the employee based on how well the requirements of the job are fulfilled.
3. Insert additional comments to validate your rating.

PART 1: Essential Skills

Check the appropriate box and enter comments to support the rating directly below.

- ☐ **Superior**—consistently exceeds job requirements.
- ☐ **Excellent**—often exceeds job requirements.
- ☐ **Good**—all job requirements are met.
- ☐ **Average**—minimum job requirements are met.
- ☐ **Unsatisfactory**—is not meeting minimum requirements.

Job Knowledge. Employee's understanding of job requirements, as well as of related functions, and the need to keep skills current.

☐ **Superior** ☐ **Excellent** ☐ **Good** ☐ **Average** ☐ **Unsatisfactory**

Comments:

Quality of Work. The neatness, thoroughness, and accuracy of employee output.

☐ **Superior** ☐ **Excellent** ☐ **Good** ☐ **Average** ☐ **Unsatisfactory**

Comments:

Quantity. Typical volume of work employee produces under normal circumstances.

☐ **Superior** ☐ **Excellent** ☐ **Good** ☐ **Average** ☐ **Unsatisfactory**

Comments:

Cooperation. Employee's ability and willingness to work with those around him/her.

☐ **Superior** ☐ **Excellent** ☐ **Good** ☐ **Average** ☐ **Unsatisfactory**

Comments:

Initiative. How well does the employee generate ideas and follow through on them?

☐ **Superior** ☐ **Excellent** ☐ **Good** ☐ **Average** ☐ **Unsatisfactory**

Comments:

Dependability/Reliability. Employee's willingness to accept responsibility and meet deadlines.

☐ **Superior** ☐ **Excellent** ☐ **Good** ☐ **Average** ☐ **Unsatisfactory**

Comments:

Attendance/Punctuality. How conscientious is the employee when it comes to attendance, punctuality, lunch periods, etc.?

☐ **Superior** ☐ **Excellent** ☐ **Good** ☐ **Average** ☐ **Unsatisfactory**

Comments:

PART 2: Achievement of Previous Goals

(Complete only if employee has had a prior appraisal.)

Compare each goal to the prior appraisal. List the goals that were set and indicate whether the employee accomplished, failed to reach, or surpassed the goal. Note any situations or circumstances that may have affected success.

Goal #1:

Goal #2:

Goal #3:

PART 3: Overall Analysis

Give an overall assessment and a direction for future action.

1. Employee's strong points:

2. Employee's weak points:

3. Could training be applied to further develop employee's skills? What kind?

PART 4: New Goals

List goals to be achieved by the employee before the next review. Indicate any preparation or training necessary to achieve goals and projected completion date(s).

Goals	Preparation/Training Necessary To Achieve	Projected Completion Date
1.		
2.		
3.		

MANAGER: All items reviewed on this form have been discussed with the named employee.

Manager's Signature: Date:

EMPLOYEE'S COMMENTS: Please describe any reactions to ratings, thoughts about current position, future plans, or steps being taken to reach specific goals.

I have seen and reviewed the appraisal. All items covered have been discussed fully with me. I realize that my signature does not imply that I am in agreement with the appraisal.

Employee's Signature: Date:

Department Head's Signature: Date:

Form Performance Feedback Log

Employee:	Date:
Department:	

Goal	Performance Standard	Current Performance	Intended Results

Performance Feedback Log (continued)

Goal	Performance Standard	Current Performance	Intended Results

Form Performance Improvement Plan

Employee name: Date:

Department:

Job title:

Area(s) of unacceptable performance:

1.

2.

3.

4.

5.

Mandatory corrective action(s):

1.

2.

3.

4.

5.

This improvement plan will be in effect for [Duration]. There must be immediate and sustained improvement, or further action up to and including termination may occur.

Manager Signature: Date:

I have received a copy of this plan on the date indicated below, and acknowledge that if my performance in the noted areas does not improve in the agreed upon time frame(s), I may be terminated for poor performance.

Employee Signature: Date:

Form Performance Management Audit

If you think it's important to add one of the points below to your performance management policy, write down the name of the person you should speak to about making the change under Coordinator, or make plans to pursue the matter on your own by filling in a deadline under Investigate. If you want to consider changing or eliminating one of your own policy points, but not right now, put an appropriate date to do so on the line reserved for Future Action.

	OK For Now	Investigate (Deadline)	Coordinator	Future Action (Date)
Do you review all of your job descriptions and performance standards every year to make sure employees have the training, equipment, and time to do the jobs for which they are being evaluated?				
Do all performance appraisals follow the schedule described in your employee handbook and company policy manual? If appraisals have not taken place as planned, can you explain why?				
Are supervisors familiar with the job duties and actual performance of the employees they are rating?				
Do you clarify the differences between objective and subjective ratings, comments, and goals, before supervisors ever sit down to write a performance appraisal?				
Have you gone over the appraisal form with an employee if he/she has a disability, to make sure he/she understands the process? Have you confirmed the time and date of the appraisal to enable him/her to make special accommodations?				

Performance Management Audit (continued)

	OK For Now	Investigate (Deadline)	Coordinator	Future Action (Date)
Do supervisors get up-to-date training at least once a year on how to evaluate performance?				
Do you discuss with supervisors the danger of using performance appraisals as retaliatory weapons? Do you look for personal attacks and other clues when you review the appraisals they write?				
Do you require supervisors to explain sudden drops in performance appraisal ratings?				
Do supervisors understand how a lowered performance rating can trigger a discrimination lawsuit, and how to prevent it from happening?				
Have you discussed with supervisors the type of statements made in a performance appraisal that might be considered defamatory?				
Do you have a system in place to make sure employees who do not meet standards are given goals to correct the deficiencies within a specified time period?				
Is there an appeals process for employees who are not satisfied with their ratings?				

Performance Management Audit (continued)

	OK For Now	Investigate (Deadline)	Coordinator	Future Action (Date)
Do you give employees who challenge their appraisals a hearing with a higher-level manager?				
Are employees required to sign appraisals to acknowledge they have read them?				
Do you give employees an opportunity to comment on their appraisals in writing?				
Do supervisors understand the confidentiality process and why the results of performance appraisals should be given only to those with a need to know?				
Do you keep all employee performance appraisals in a locked file, accessible only to those with a need to know?				
Do you separate documents that discuss delicate subjects, such as theft, drugs, or alcohol, in a secure file away from the employee's regular performance appraisal file?				
Do you evaluate supervisors on their skills in conducting performance appraisals? If you identify those who use subjective factors or defamatory terms, do you require them to undergo extra training?				

Form Performance Problem Analysis Guide

Instructions: Identify the employee's problem by type and cause. Mark all responses that apply to the employee's actual problem behavior on the job.

Types of Problems

1. Job Performance
   Possible causes:

   ☐ Lack of skill or knowledge
   Suggested responses:
   - ☐ Training
   - ☐ Transfer

   ☐ Lack of motivation
   - ☐ Recent problem
     Suggested response:
     - ☐ Frank discussion of the employee's status and future opportunities
   - ☐ Long-standing
     Suggested responses:
     - ☐ Transfer
     - ☐ Discharge

2. Personality Problems
   Suggested responses:
   - ☐ Explain the effects on the organization
   - ☐ State the consequences of failure to change

3. Disruptive Behavior
   Suggested approach:
   - ☐ Explain the effects on the organization
   - ☐ State the consequences of failure to change

Sources of Problems

1. Internal
   - ☐ Personality factors
   - ☐ Personal habits
   - ☐ Maturity level
     Suggested responses:
     - ☐ Training
     - ☐ State consequences of failure to change

2. External
   - ☐ Cultural differences
     Suggested responses:
     - ☐ Training in managing diversity
     - ☐ Changing work schedules and requirements
   - ☐ Working conditions
     Suggested response:
     - ☐ Remove problems and distractions where possible
   - ☐ Lack of resources
     Suggested interview question:
     - ☐ Identify thee resources the employee feels he/she needs, or whose addition might enhance the employee's performance. Ask: "If I could make this resource available today, how would you put it to good use?" **Note:** This should help distinguish between real problems and excuses.
   - ☐ Stereotypes
     Suggested interview question:
     - ☐ Ask: "Do you feel others doubt your ability to take on certain assignments or opportunities for which you feel qualified? Give me an example."

Form Pre-Interview Checklist For Employees

Complete a self-analysis of your performance during the time between your last review and your upcoming review.

- ☐ Take a deep breath and leave any stress at the door.
- ☐ Go into the interview with an open mind.
- ☐ Stay calm, no matter what criticism you hear.
- ☐ Keep the focus on your performance. If you have unrelated complaints, schedule to meet with your supervisor at another time.
- ☐ Be specific when discussing performance and asking questions.
- ☐ Ask open-ended questions and offer open-ended responses.
- ☐ Listen to what your supervisor has to say.
- ☐ Share your thoughts and opinions.
- ☐ Don't play the blame game. Accept responsibility for performance shortcomings where appropriate.
- ☐ Propose your own solutions to performance problems.
- ☐ Propose your own goals.
- ☐ Stay flexible when working to agree upon goals and expectations with your supervisor.
- ☐ Restate the future goals and expectations you and your supervisor have agreed upon.

Form Pre-Performance Improvement Plan Written Warning

Instructions: Identify the problem behavior, including specific examples. For each example, note the employee's response and any actions management can take to help resolve the problem. Identify the consequences of continuing the problem behavior.

At the end, enter a suggested action plan for correcting the identified problems. Prepare this guide in advance as much as possible, but be prepared to make changes as indicated by the employee's responses and suggestions.

Problem Area 1

Behavior:

Example:

Employee's response and comments:

Further questions for the employee:

Employee's responses:

Consequences of continued problem behavior:

Problem Area 2

Behavior:

Example:

Employee's response and comments:

Further questions for the employee:

Employee's responses:

Consequences of continued problem behavior:

Action Plan For Resolving Problem(s):

1. Standard of acceptable progress:

   Date to be achieved by:

2. Standard of acceptable progress:

   Date to be achieved by:

3. Standard of acceptable progress:

   Date to be achieved by:

4. Standard of acceptable progress:

   Date to be achieved by:

5. Standard of acceptable progress:

   Date to be achieved by:

Manager Signature: Date:

Employee Signature: Date:

Form Problem Analysis and Corrective Action Plan

1) Is it a training problem?

   What training was received?

   Was employee asked if training was adequate?

   Was same training given as in previous situations?

   COURSE OF ACTION:

2) Is it a selection/recruitment problem?

   What were requirements for selection?

   Methods of recruitment?

   Is present selection process adequate for current needs?

   If not, what changes are necessary to improve the process?

   COURSE OF ACTION:

3) Is it a clarity problem, e.g., job description, job expectations?

   Does job description accurately cover day-to-day job responsibilities?

   Is employee kept informed about what expectations are?

   If employee is not meeting expectations, is there a clear route to help him/her get on track?

   COURSE OF ACTION:

4) Does the employee understand the policy?

Is policy clearly communicated to all employees?

Is there a way to check to make sure policy is being followed in all workplace situations?

Does the policy adequately cover all areas of the business?

COURSE OF ACTION:

5) Is it a personal problem?

Could there be an off-the-job reason for the problem?

Have there been any reports of such problems?

Does employee show any signs of stress?

COURSE OF ACTION:

6) Am I the problem?

Have I treated the employee differently from others?

Do I expect too much from the employee?

COURSE OF ACTION:

Form Progressive Appraisal Meeting Language

Step 1. Get to the point. Don't beat around the bush.

Start off by saying something like:

"The purpose of our meeting is…"
OR
"I asked you here to discuss…"

Step 2. Outline the purpose of the conversation.

Try:

"I have a concern about…"
OR
"There's a problem with…"

Step 3. Share with the employee what you know about the situation.

Preface your statement with:

"I saw…"
OR
"When I was informed of the problem, I looked into it by…"

Step 4. Describe the consequences of continuing the negative behavior.

Try:

"If I see no improvement..."
OR
"According to company policy…"

Step 5. Describe your feelings about the situation.

Start by saying:

"I'm concerned about…"
OR
"I don't think it's right that…"

Step 6. Encourage the employee to give his/her side of the story.

Invite such dialogue by saying:

"That's my take on the situation, but what is your view?"
OR
"Is that the way you see things?"

Step 7. Question the employee's side of the story.

Try:

"How do you know that…"
OR
"If you did that, then why did you…"

Step 8. Decide what specific actions must be taken.

Start with:

"You must…"
OR
"By our next meeting you will have…"

Step 9. Summarize your conversation.

Try:

"You will…" and
"I will…"

Step 10. Follow up on the employee's progress.

End by saying something like:

"Our next meeting will be on…"

Form Sample Letter Announcing Upward Appraisal

You will be receiving a package shortly that contains an evaluation form on which you will be asked to rate your manager in certain categories. You will not be asked to sign the form or reveal your identity to either the company or your manager. Place your replies in a sealed envelope and deposit in the appropriately labeled box in the break room. The box will be delivered to the HR office by a manager from a different department.

Your evaluation will be consolidated with those of your department co-workers and a summary will be presented to your manager. Once the summary is prepared, the individual evaluation forms will be destroyed. All of your comments will be entirely anonymous. We expect you to be as honest and accurate as possible.

The purpose of our upward feedback program is to pinpoint areas that may be preventing employees, managers, and departments from reaching their full potential. So it will be to your benefit to be as accurate and objective in your assessments as possible.

You will be asked to rate your manager on these main categories: interpersonal/communication skills, performance management/coaching, delegation, training, and reaching long- and short-term goals. Do not rate these categories in relation to one another; make sure you evaluate the categories individually.

You will have an opportunity to write in comments if you'd like to get more specific.

Upward appraisals will be utilized by upper management when discussing managers' performance. The upward appraisals are a great source of information on where the managers must improve, and which aspects of their performance they are excelling in; and it can spotlight areas of their relationship with employees that they need to keep an eye on. Employee reviews will be just one factor in managers' formal performance appraisals. Pay and promotion decisions will be left solely up to their supervisors.

Form Sample Performance Appraisal Interview Memo

To: [Employee Name]

From: [Supervisor Name]

RE: **Performance Evaluation and Development Meeting**

We'll be meeting on [Date] to: 1) review your performance over the past [Time Frame]; 2) discuss your strengths and areas of required improvement; and 3) develop plans for enhancing your skills and potential with our company.

Your input is most important to this meeting. Please prepare for it by reviewing your performance standards and results, and bring them with you to the meeting.

During the meeting, we'll discuss your performance on each of your appraisal points, especially those we've targeted in the past for improvement. Please be ready to present your evaluation of your performance in each of these areas. I want to listen to your input, comments, problems, suggestions, etc.

We'll go through each area in this manner, one at a time, and we'll discuss our agreements and/or disagreements.

We'll conclude the meeting with our ideas for the future. For example, what we can do to solve your problems, meet your needs, plan your future, etc. I want to hear any of your ideas, so that we might plan for the future, mutually.

Should you have any questions about our meeting, or have any topics that you'd like to discuss, please see me in advance. This way, we can both prepare for the meeting.

In a nutshell, let's have an objective, two-way conversation about your performance, your needs, the company's needs, and the future.

See you on [Date], at [Time].

Form Sample Policy on Performance Reviews

Employees' performance will be appraised at least every _____ months by their immediate supervisor. The formal review will consist of a written appraisal followed by a discussion of the evaluation. Informal reviews should be conducted on a continuing basis.

The appraisal's purpose is to help supervisors evaluate performance in an objective, consistent, and uniform manner. It will be based on job performance and employee qualifications, which will be based on each position's job description and work standards.

Subjective factors, such as personal habits and outside activities, will not be considered.

Supervisors should establish expected performance standards for each employee in consultation with the employee at the beginning of the rating period. For each basic requirement, a performance goal should be established for each rating period and each employee. To the greatest extent possible, the standard should be written so that the success or failure can be easily determined, and the result will not depend solely on the personal judgment of the appraiser.

Employees will have the right to express disagreement with any points made, correct any inaccuracies, and make written comments concerning all aspects of the appraisal.

Employees are encouraged to use performance appraisals as an opportunity to openly discuss with their supervisors their career and personal goals and how they plan to meet them. They should also feel free to bring up any difficulties in their relationships with their supervisor in an open and constructive manner.

Salary or wage increases are directly linked to performance appraisals. The Company firmly believes that outstanding job performance deserves higher rates of pay for the position.

Employees will be advised _____ days in advance of the performance appraisal so that they will have time to prepare personal thoughts and any written comments they may wish to add to the report. They will also have the right to examine the written appraisal and make written comments with regard to content.

Performance appraisal is a continuing process. During the appraisal period, the supervisor should counsel the employee regularly, note areas where the employee appears to be in need of improvement, and discuss these informally with the employee.

Termination for Poor Performance

Purpose: The Company will not tolerate continued substandard performance by its employees. The process of performance appraisals has been established in order to identify and correct performance deficiencies. When that process fails to produce the desired results, it may be necessary to consider terminating the employee for poor performance. In such a case, the supervisor should follow this sequence.

Report the problem to Human Resources and review existing policies concerning discharge.

Prepare a final performance appraisal that specifies the employee's shortcomings. Give the employee a final warning to correct these problems before a specific date and inform him/her that failure to improve will result in discharge.

If the employee fails to meet this standard, the supervisor should notify Human Resources of the impending discharge.

With the approval of Human Resources, the supervisor should notify the employee that he/she is being discharged for poor performance. The discharge should normally be effective immediately and the employee given two weeks' pay in lieu of advance notice.

In particularly serious cases, the employee may be suspended immediately and the case referred to Human Resources. Human Resources will review the case and make a final decision on whether to discharge or reinstate the employee.

Form Self-Audit of the Appraisal Interview

- ☐ Initiated an interactive dialogue with the employee.
- ☐ Discussed each goal or objective established for the employee.
- ☐ Explored areas of agreement and disagreement.
- ☐ Covered positive skills, traits, accomplishments, and growth potential.
- ☐ Reinforced the employee's accomplishments.
- ☐ Discussed the employee's potential for upward improvement.
- ☐ Covered areas where improvement is required, expected, demanded, or desired.
- ☐ Asked the employee for his/her improvement suggestions.
- ☐ Gave the employee goals to correct the deficiencies within a specified time period.
- ☐ Made training/development recommendations.
- ☐ Discussed consequences for non-compliance, where applicable.
- ☐ Listened attentively to the employee.
- ☐ Communicated the main message clearly.
- ☐ Was completely honest with the employee.
- ☐ Stuck to performance issues.
- ☐ Filled out forms properly and promptly.
- ☐ Conducted progress reviews as promised.
- ☐ Received positive feedback from the employee.

Self-Audit of the Appraisal Interview (continued)

- ☐ Understood the employee's performance challenges better.
- ☐ Obtained accurate performance data from records and from careful observation of the employee when performing the job.
- ☐ Appraised the employee's performance against the performance of all individuals who have performed the same job.
- ☐ Made sure that one or two employee weaknesses did not inaccurately influence the appraisal of other factors.
- ☐ Avoided rating the employee "sympathetically."
- ☐ Avoided letting evaluations of persons with the same job title fall into a rigid or routine pattern.
- ☐ Stuck to the facts and referred only to the available records.
- ☐ Had the employee sign the appraisal to acknowledge having read it, and gave him/her an opportunity to comment on it in writing.
- ☐ Told the employee how to appeal his/her overall performance rating.
- ☐ Did not rush or make the overall rating in haste due to other factors.
- ☐ Set objectives for next performance appraisal.
- ☐ Set a date and time for next evaluation.
- ☐ Thanked the employee for his/her efforts.

Form Self-Evaluation

Name:

Identify your essential job functions.

What areas of your job do you like the most?

What areas of your job do you like the least?

Please identify at least one change you would recommend to correct what you like least about your job.

In this position, what do you feel you excel at most?

What do you feel your weakest area(s) are in this position?

What performance accomplishment(s) have you achieved since your last performance review?

Have you experienced any major disappointment(s) in job performance since your last review? If yes, please explain.

What steps are you planning on taking to further improve your job performance before your next review?

Self-Evaluation (continued)

On a scale of 1 to 5, how would you rate your overall performance? (Please check one box)

- ☐ 1. **Poor:** Major improvements needed.
- ☐ 2. **Not so good:** Less than satisfactory, could be doing better.
- ☐ 3. **Average:** Performing duties as directed with minimal supervision.
- ☐ 4. **Good:** Performing all duties in a cost-effective manner with positive, measurable results.
- ☐ 5. **Outstanding:** Performing at a level above and beyond the duties of the position's requirements.

Employee's Signature: Date:

Manager's Comments:

Manager's Signature: Date:

Form Statement Of Employee Goals

Employee:	Department:
Appraised by:	Date:

Goal	Performance Standard	To Be Met By (Date)

Next Appraisal Date:	Dates of Interim Reviews:
Manager's Signature:	Date:
Employee's Signature:	Date:

Form Summary of Department Goals

Department:	Manager:
Period:	To:

Goal	Performance Standard	Responsible Employee	To Be Met By (Date)

Form 360-Degree Performance Review (Employee Assessment of Manager)

Name:

Manager:

Date:

Please rate your manager in each of the following areas by checking the appropriate box.

1. Gives immediate feedback in all areas of the job. Always gets an answer to a problem.
   - ☐ Exceptional
   - ☐ Above average
   - ☐ Average
   - ☐ Needs improvement
   - ☐ Unsatisfactory

2. Is ready and able to teach you things you do not know or improve areas that are not up to standard.
   - ☐ Exceptional
   - ☐ Above average
   - ☐ Average
   - ☐ Needs improvement
   - ☐ Unsatisfactory

3. Is accessible to you. Always ready to listen to complaints and take action on them.
   - ☐ Exceptional
   - ☐ Above average
   - ☐ Average
   - ☐ Needs improvement
   - ☐ Unsatisfactory

4. Is fair and objective in all dealings with you.

   - ☐ Exceptional
   - ☐ Above average
   - ☐ Average
   - ☐ Needs improvement
   - ☐ Unsatisfactory

5. Respects confidentiality.

   - ☐ Exceptional
   - ☐ Above average
   - ☐ Average
   - ☐ Needs improvement
   - ☐ Unsatisfactory

6. Is professional in dealings with you and other employees.

   - ☐ Exceptional
   - ☐ Above average
   - ☐ Average
   - ☐ Needs improvement
   - ☐ Unsatisfactory

7. Administrative ability. Required paperwork for your area of operations is completed in a timely and accurate manner.

   - ☐ Exceptional
   - ☐ Above average
   - ☐ Average
   - ☐ Needs improvement
   - ☐ Unsatisfactory

8. Creates a friendly and cooperative atmosphere in the department.

   - ☐ Exceptional
   - ☐ Above average
   - ☐ Average
   - ☐ Needs improvement
   - ☐ Unsatisfactory

9. Enforces all safety rules and regulations on a consistent basis.

   - ☐ Exceptional
   - ☐ Above average
   - ☐ Average
   - ☐ Needs improvement
   - ☐ Unsatisfactory

10. How would you evaluate the overall job performance of your manager?

    - ☐ Exceptional
    - ☐ Above average
    - ☐ Average
    - ☐ Needs improvement
    - ☐ Unsatisfactory

Comment: Please use this space for comments that might improve your job or that of the manager.