

SUPERVISOR GUIDELINES

FOR

CONDUCTING EMPLOYEE

PERFORMANCE APPRAISALS

University of Northern Iowa

Developed by Human Resource Services in
Collaboration with the 2000 Merit Evaluation Task Force

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Available in the Forms Repository at: www.uni.edu/hrs/

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SUPERVISOR GUIDELINES FOR CONDUCTING EMPLOYEE PERFORMANCE APPRAISALS AT THE UNIVERSITY OF NORTHERN IOWA

INTRODUCTION

The following guidelines are designed to assist you in conducting performance appraisals of employees who report to you. It is very important to assess job-related performance and not personality unless it relates directly to the employee's performance. Please keep in mind that you are a role model for those who report to you. There is no substitute for courtesy, sensitivity and a common sense approach to the performance appraisal process.

This guide has been developed in conjunction with the revision of the annual appraisal forms used for Merit (AFSCME) employees by the 2000 Merit Evaluation Task Force, including task force members and employees from AFSCME, the Department of Residence, Library, Physical Plant, Print Services and Human Resource Services. In certain instances, reference is made to the actual evaluation forms used for Merit employees, including the Annual Performance Summary and the Discussion Guide for Annual Performance Summary.

This guide may also be used as a reference tool by supervisors who conduct performance appraisals of other employee classifications, such as Professional & Scientific. Where reference is made to the specific Merit evaluation forms, please substitute the forms that you have been provided for use.

BENEFITS OF PRODUCTIVE PERFORMANCE MEETINGS

A productive performance meeting serves as a collaborative planning session during which both the supervisor and employee can take an in-depth look at past and current performances and can together set new goals and objectives for the coming year.

The performance meeting helps the supervisor and employee establish a clearer understanding of the employee's job duties, responsibilities, and priorities. It also provides an opportunity for the supervisor to coach the employee on how to become more proficient and productive. Establishing performance goals provides direction and helps the employee and supervisor in the following ways:

Performance Goals Help Employees:

- Find out how they are doing;
- Know what is expected of them;
- Take responsibility for their performance;
- Learn their own performance strengths and weaknesses;
- See where their goals support organizational goals;
- Direct efforts where they can do the most for their own careers and for group and organizational success; and
- Feel that they are taken seriously as individuals and that the supervisor is truly concerned about their needs and goals.

Performance Goals Help Supervisors:

- Develop an objective means for evaluating employees;
- Tie individual tasks, goals, and directions to group and organizational goals;
- Work with employees on career development plans and paths;
- Identify where individuals need coaching and training;
- Provide recognition and motivation to employees; and
- Document an employee's progress towards reaching goals.

For further information regarding the performance review process, you may borrow training videos from Human Resource Services by contacting the receptionist at 273-2422.

PREPARING THE EMPLOYEE AND SCHEDULING THE PERFORMANCE MEETING

Advise the employee of the performance meeting at least one week in advance and ask the employee to complete the optional Discussion Guide for Annual Performance Summary included at pages 6 and 7 of these Guidelines to bring to the meeting. The purpose of the Discussion Guide is to encourage communication and to provide discussion points between the employee and supervisor during the performance meeting. The Discussion Guide may also be obtained from UNI's forms repository at: www.uni.edu/hrs/.

Also let the employee know that you intend to discuss his/her personal career objectives at the meeting. If you have done this in the past, you may want to provide the employee with a written list of the goals that you both had set during the last performance meeting and ask the employee to think about what progress has been made toward those goals, what goals he/she would like to change, or where, if any, he/she would adjust the priorities that have been set.

The date and time that you schedule for the meeting should be mutually convenient to you and the employee. Set aside at least one hour with no ringing telephones or interruptions and find a private room for the meeting. When scheduling consecutive performance meetings, ensure there is enough time between them so you do not rush the appraisal process.

DISCUSSION GUIDE FOR ANNUAL PERFORMANCE SUMMARY
(To be Completed by Employee – Optional)

Note: The purpose of this Discussion Guide is to encourage communication and to provide discussion points between the employee and supervisor during the performance meeting. Use of this Discussion Guide is optional. If used, the supervisor should request the employee to complete it prior to the scheduled discussion date for the employee's Annual Performance Summary and to share the information with the supervisor at that time. This Discussion Guide is intended to be retained by the employee and is not to be placed in any employee personnel file unless the employee specifically requests that it be made a part of his/her Annual Performance Summary by dating and signing at the bottom of this document.

Employee's Name: _____	Scheduled Discussion Date, Time, and Location with Supervisor: _____
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1. Do you understand your supervisor's expectations of you? If not, what would you like clarified?

2. How do you view your contribution to the goals and objectives of the department?

3. What do you enjoy most about your present position?

4. What do you like the least about your present position?

5. List what you believe to be your significant accomplishments during the past year.

6. Were there any key obstacles to performing your job? If so, please describe. In what ways could your supervisor have helped to eliminate those obstacles for you?

7. Do you feel you have the proper resources to perform your job responsibilities as efficiently and effectively as possible? If not, please describe any resources that would help you.

8. Do you feel that you are in a safe working environment? If not, describe what you believe would make your working environment safer.

9. Please share any ideas you have on how the work of your department or work unit could be improved.

10. What goals do you have for the next review period?

11. What support do you need to achieve these goals? How can your supervisor help you achieve these goals?

12. Is there any kind or type of training you would like to receive to help you with your present job? If so, please describe.

13. Is there any kind or type of training you would like for career development purposes? If so, please describe.

Optional:

I would like this Discussion Guide to be included with my Annual Performance Summary, which will be placed in my permanent personnel file in Human Resource Services.

Date: _____

Signature: _____

COMPLETING THE ANNUAL PERFORMANCE SUMMARY FORM

The better prepared you are for the performance appraisal meeting, the more productive your discussion will be. It all starts with your completion of the Annual Performance Summary form--the more time and effort you put into completing it, the better prepared you will be for the appraisal meeting. Before sitting down to complete the Annual Performance Summary for an employee, gather the following information and documents for your review and reference:

- Employee's job description;
- Date employee began present position;
- Length of time the employee has reported to you;
- Record of employee's attendance during past year;
- Your notes or journal regarding the employee's performance during the past year;
- Current projects the employee is working on and employee's progress;
- Examples of work problems you want to discuss;
- Examples of employee's work over the past year and recent work;
- How employee relates to co-workers, internal and external customers, and others;
- Level of employee's technical skills;
- Employee's educational background and experience;
- List of job and career objectives drawn up during past performance review;
- List of training and development courses attended by employee during past year; and
- List of available training courses appropriate for employee for upcoming year.

When completing the evaluation form, consider whether the employee met his/her goals for the period. If not, were there any outside circumstances (new orders, staff cuts, equipment problems) that limited the employee's ability to meet goals? Did you provide the employee with feedback on progress toward goals during the year? Do you have records of specific examples of successes, improvements, or weaknesses? Do your examples include feedback from internal and external customers, other supervisors, etc?

When rating an employee on different factors, base the ratings on how well the employee performed his/her job. Be careful of dramatic declines such as "exceeds expectations" to "needs improvement." The supervisor must address all "needs improvement" ratings, as well as other issues, in the "supportive details or comments" section of the form. All comments made should be meaningful and consistent with performance rankings.

It is important to be aware of, and to guard against, the following common rating tendencies:

- | | |
|-------------------------|---|
| Halo Effect | A tendency to rate high on one quality which may influence a higher than deserved rating on another quality, such as rating someone high because you personally like him/her. |
| Opposite of Halo Effect | A rating of unsatisfactory on one quality may influence a lower than deserved rating elsewhere, such as rating someone low because you do not like his personal style. |

Central Tendency	Rating performance as average or around the midpoint. This is the most common and serious of the rater tendencies.
Recent Behavior	Basing the rating on recent performance on a project rather than overall performance throughout the past year.
Spillover Effect	Allowing past performance appraisals to unjustly influence current ratings.
Status Effect	Over-rating employees in jobs held in high esteem and under-rating employees in lower level jobs or those held in low esteem.
Same as Me	Rating an employee higher than deserved because of similar personality characteristics as the rater.
Different from Me	Rating an employee lower than deserved because of dissimilar personality characteristics from the rater.
Personal Bias/ Prejudice	Rating affected by national origin, age, sex, race, religion, physical characteristics, manner of speech, etc.

Keep your appraisal or comments regarding the employee's performance specific, related to the employee's goals, fair and objective, and based on what occurred during the entire review period. The appraisal should be concerned solely with job behaviors and effort, not personality. Avoid comparing the employee's performance to that of other employees.

Consider the following criteria when preparing employee performance documentation and evaluations:

Accuracy:	Who did what when and what was the result?
Behavior:	What did the employee actually do?
Completeness:	Are all the relevant points covered?
Consistency:	Does documentation cover the same performance areas with the same level of detail for all employees in the same job?
Effort:	Do employees get credit for taking responsibility, putting in extra time, volunteering, following instructions, etc?
Individualized:	Does it relate to the particular employee's goals?
Measurable:	Can progress in meeting performance goals be measured or given numeric support?

Results: Can you show that the employee did or did not complete the task successfully?

Timeliness: Does the documentation reflect incidents in the current review period?

Once the evaluation form is completed, it is recommended that you review it with your supervisor before meeting with the employee to ensure both levels of management are in agreement regarding the employee's performance.

CONDUCTING THE PERFORMANCE MEETING

1. Put the employee at ease by creating a sincere and open atmosphere for joint discussion.
2. Establish the purpose of the discussion. Advise the employee what you would like to accomplish during the meeting.
3. Review the employee's overall job requirements and responsibilities. Going over the job description with the employee allows you to discuss the work that the employee does on a daily basis. If the two of you disagree on the relative importance of specific job aspects, it will come out now, and it will also give you the opportunity to discuss any problems the employee is having performing the various job responsibilities.
4. Review the performance objectives and goals established during the last performance meeting with the employee.
 - (A) Discuss objectives/goals that have been reached. How has that improved the employee's skills and performance?
 - (B) Discuss objectives/goals that need further work. What obstacles have prevented the employee from reaching any objectives? Decide if time frames set for reaching the objectives need to be adjusted.
5. Provide recognition for desirable behavior, especially since the last review. Let employees know how much you value and appreciate their work.
6. Ask for the employee's views on problems, suggestions for changes, improvements, etc.
 - (A) Do not interrupt the employee's commentary. If the employee is upset, let him/her blow off steam. Be a good listener.
 - (B) Thank the employee for his/her input. If the meeting has included discussion of major concerns about the quality of the employee's performance, express confidence that the two of you can successfully work through the difficulties together.
7. Outline one or two areas of performance where improvements are needed and ask for the employee's suggestions.
 - (A) Do not unload—keep the meeting as upbeat and positive as possible but be honest and accurate.
 - (B) Avoid using subjective, vague or overly broad descriptions such as "poor attitude" or "no initiative." Give specific, objective comments or examples.

<u>Examples of Subjective Comments</u>	<u>Example of Objective Comments</u>
Lacks customer orientation	Does not greet customers quickly
Chronically absent	Absent six days in last month
Does not care about quality	Has an error rate of 10%
Lacks interest in the work	Missed the due date for assignment

- (C) Be consistent. If an issue (weakness of performance) was mentioned on the previous performance appraisal, it should be mentioned again if it is still an issue. An omission may assume the problem has been resolved. Conversely, if there has been improvement since the last appraisal, acknowledge it.
8. Problems that are not related to work performance, such as absenteeism or tardiness generally should be handled as they occur, not as part of the annual performance appraisal. If it appears that the problems may be related to personal or family medical issues, refer the employee to Human Resource Services so a determination may be made as to whether the Family Medical Leave Act may apply.
 9. Outline and discuss action plans for improvement with the employee. Let the employee know what behavior you expect, whether you desire to reinforce positive behavior or make changes. Encourage the employee to make as many suggestions for self-improvement as possible. Include training or development plans when appropriate. Set a realistic timeline for improvement—if you need assistance, consult with Human Resource Services.
 10. Discuss whether the employee's ultimate career objective as identified at his/her last performance review remains the same or has changed. If it has changed, how will this affect the objectives that have already been set?
 11. Ask the employee if there are any remaining items on the Discussion Guide that they would like to address.
 12. Set new career objectives for the upcoming year. Discuss what the employee needs to learn to reach these objectives and how the employee can obtain the knowledge and experience needed.
 - (A) Assign responsibility for reaching these goals. Let the employee know to what extent you will help him/her and what the employee must do independently.
 - (B) Decide together on a first step that will start the employee towards reaching a tangible goal.
 13. Be prepared to discuss the employee's concerns regarding wage increases, promotional opportunities, etc. Be as honest as possible—do not set unreachable expectations.
 14. Summarize the appraisal meeting interview and review any objectives/goals set for performance improvement. Attempt to obtain an acknowledgment from the employee that indicates there is a clear and mutual understanding and agreement. Bring the interview to a close by:
 - (A) Commenting on the positive aspects of the employee's performance;
 - (B) Providing a word of encouragement;
 - (C) Offering assistance;
 - (D) An invitation for formal discussion anytime the employee wishes.

HELPING EMPLOYEES SET CAREER GOALS

The reason for setting new objectives/goals is so employees can continue to feel a sense of achievement and satisfaction in the work they do. Goals can be broad based and tied to the University's strategic plan, or they can be related to specific departmental goals or job expectations.

If employees choose inappropriate goals, or if they have difficulty focusing on assigned goals, you can help them get on track by asking the right questions. Following are some sample questions that you may find useful:

1. What would you like your next position to be? How do you think you can best work toward reaching that goal?
2. What do you feel would be helpful for your job or career development? Is there any kind or type of training you would like to receive?
3. What long-range goals would you set for yourself? How are you working towards reaching those goals now? What do you plan for the future?
4. How is your present job preparing you for the goals you are setting? Is your present job setting the right foundation or is there another path that you might consider that might be easier to pursue?
5. What do you know about the requirements for the goals you have set for yourself? Do you need to find out more?
6. What changes will you have to make to reach the goals you are setting? Can they be made within the boundaries of your present position?

GUIDELINES FOR HANDLING A MEETING WITH A POOR PERFORMER

1. Be honest and frank regarding performance deficiencies. Address areas that the employee has control over and can change.
2. Use tact and sensitivity without getting personal when discussing the employee's work performance.
3. Have documentation available. Mark entries in your employee notes or journal with paperclips so that you can quickly show examples of problems the employee has had with performance and/or behavior during the past year.
4. Make sure you have also documented the times you have spoken to the employee about his or her performance. This chronological history will assist you when you discuss specific dates of performance deficiencies.
5. Have written performance standards to show to the employee (these standards should be distributed to all employees when they are hired or when a promotion is granted).
6. Show the employee examples of how his/her work does not meet performance objectives. Consider and discuss the possible cause of the performance deficiencies.
7. Set improvement goals. Set short-term goals that are specific and achievable for the employee. Explicitly state the level of performance you expect for the person's work to be considered acceptable. Make a "contract" with the employee to improve performance within a certain amount of time. Set measurable standards for improvement and work together to determine how the performance objectives can be accomplished. Be positive about the employee's ability to improve.
8. Establish an action plan. If appropriate, arrange for extra training by yourself or a senior co-worker, or closer supervision by yourself. Action plans may also include job reassignment or transfer, referral to the employee assistance program for counseling, lower performance standards for a short time, etc.
9. Schedule a "follow-up on progress" meeting in one or two months to assess the progress that has been made, or establish another way to monitor the worker's progress towards achieving the established goals.
10. Be honest with the employee about his/her future without being patronizing or admonishing. Spell out exactly what the employee has to do to improve and what the consequences will be if he/she does not change the performance. You may wish to consult with Human Resources for guidance on addressing employee performance issues and to ensure consistency across campus in handling similar situations.
11. If performance does not improve after a reasonable period of time and you believe you need to start the progressive disciplinary process, contact Human Resource Services.

DISCUSSING EMPLOYEE ATTITUDE PROBLEMS

Attitude problems can damage overall performance. For example, if an employee has a surly attitude that is displayed when he/she interacts with coworkers, it can adversely affect workflow in the department. In contrast, arriving late to work, being inconsiderate of others, or being careless with university property may not directly affect the employee's work, but may be disruptive to the rest of the department and can definitely damage the morale of the employee's coworkers.

Discussing an attitude problem with an employee can be a more uncomfortable experience for a supervisor than citing inadequate performance. The following guidelines can help you plan what to say:

Don't Say

I don't like your attitude.

Your personality is too abrasive toward your coworkers and to me.

It's too bad you'll never succeed because of your attitude.

Do Say

Your behavior indicates that you resist doing the work that is asked of you. (Cite specific examples of inappropriate behavior.)

Please speak more respectfully to both your coworkers and your supervisors.

You have the ability to perform well on the job and to be successful. In order for for this to occur, you need to change the behaviors that are standing in the way of your success on the job.

It is best to avoid the word "attitude" altogether, as it has a patronizing tone. You can discuss specific negative behaviors you have documented and provide the employee with examples of positive behavior on the job.

ADDRESSING EMOTIONAL SITUATIONS

Occasionally, an employee will react very strongly if disappointed with the review that is given. This can unnerve even the most experienced supervisor. Crying, shouting, walking away, or becoming silent are all reactions that can be very difficult to address. Here are some suggestions for getting through such a situation:

- **Crying.** An employee in tears may not be able to discuss issues calmly. Try to minimize the employee's embarrassment by empathizing and speaking in low, even tones. Offer compassion and some tissues. Ask the employee if he/she would like to talk a little later, or give the employee time to recompose himself/herself by leaving the room for a short time.
- **Shouting.** Do not answer shouting with more shouting. Instead, talk calmly, slowly, and firmly to the employee and do not appear frightened or agitated. If the shouting continues on without abatement, ask the employee to leave and say that you will schedule a time to continue the discussion when he/she has had time to calm down. If you feel threatened physically, contact Public Safety for assistance.
- **Walking away.** Although it is impossible to have a discussion if the employee walks away, it may not be an entirely bad thing. Some people know they cannot face an issue and they leave rather than completely lose their temper. Don't try to physically restrain someone who walks out on you. You can ask the person to please stay so that you can finish the discussion, but if he/she doesn't care to listen, do not force the issue. Let the employee leave and take up the discussion again when he/she has calmed down. If the employee continues to "walk away" whenever you attempt to address an issue, consult Human Resource Services for guidance on handling the situation.
- **Becoming silent.** An employee who is feeling hostility or resentment toward you may react by silence. Talk to the employee about whatever you need to, but do not push the issue by attempting to make small talk. Ask open-ended questions such as "What would your approach to the problem be? Why do you think you were successful in completing that project?" If the employee continues to refuse to talk, you may have to address the employee directly and request that he/she talk to you so that you can put the problem behind you. You may also want to reschedule the meeting for a time when the meeting will be more productive. If "becoming silent" continues to be a problem, consult Human Resource Services for guidance on handling the situation.
- **Quick to Agree.** The employee may want to get out of the appraisal meeting as soon as possible. If this situation occurs, ask the employee to summarize major points. Use questions such as, "What is your understanding of the problem?" Make sure there is a mutual understanding of overall performance, goals and objectives before the meeting ends.

PREPARING FOR NEXT YEAR'S PERFORMANCE APPRAISAL

If your performance appraisal process did not go as smoothly as you would have liked this year, consider what steps you can take to improve the process for next year. Here are some possible suggestions:

- Create a system for documenting each of your employee's job performance. Document both good performance and poor performance, as well as any discussions you have with the employee regarding performance issues. See "Documenting Job Performance" at page 18 of these Guidelines for further information.
- Communicate with and "coach" employees throughout the year regarding their job performance and your expectations.
- Improve your listening and coaching skills so that you can better collaborate with your employees on making plans for performance improvement and goal setting.
- Become familiar with training programs that can help your employees grow in their positions.
- Follow up the plans you make with the employee with daily supervision and feedback. Make the appraisal process a continuous one. Monitor the progress an employee is making toward reaching goals and hold follow-up sessions to rethink strategies if goals need to be changed or employee progress is not satisfactory.
- Become a "coach" instead of a boss to your employees. *Coaching* is an ongoing process designed to help the employee gain greater competence and overcome barriers to improving performance. See page 19 of these Guidelines for an overview of the coaching process.

DOCUMENTING JOB PERFORMANCE

Documenting workplace behavior, both positive and negative, for all employees will assist you in the performance appraisal process more than anything else you can do. In addition, documentation provides the examples you need to discuss performance issues or concerns with an employee. In the event an employee's performance does not improve, documentation is critical to the progressive disciplinary process.

1. A Critical Incident File should be established by the supervisor for every employee supervised.
 - This file should contain both positive and negative information about the employee's performance.
 - Documenting observed performance (who, what, when, where, how) takes the subjective judgment factor out and enables you to base your evaluations on specific, objective, job-related behaviors.
 - Allows you to be specific when meeting with an employee to discuss job performance.
 - Examples can help the employee focus on past behavior and clarify future expectations.
2. Documentation provides accurate reflections of what a person did or did not do on the job over a period of time. It eliminates the need to remember details for a year or more.
3. Documentation allows you to focus on the issue at hand, including the employee's behavior, and not focus on the employee personally.
4. Documentation of continued poor performance provides support for the progressive disciplinary process.
5. Notes from the critical incident file are kept by the supervisor and are not part of the employee's personnel file in Human Resource Services. They can, however, be used as documents during the investigation of any subsequent complaints made by the employee.

COACHING EMPLOYEE PERFORMANCE

Through coaching, you can actively involve employees in the problem-solving process and encourage them to take responsibility for their own professional development and success on the job. This will not only improve productivity but will also build job satisfaction and motivation as employees begin to participate in decisions that affect their job performance.

The coaching process can be broken into three main segments: (1) planning and preparation; (2) conducting the coaching session; and (3) action-planning and follow-up. Within each segment are a number of individual steps, as defined below:

Planning and Preparation

Step 1: Clarify your expectations.

- (a) State your expectations in terms of behaviors—specific, observable actions that can be measured.
- (b) Describe specifically what kind of behavior you want—or don't want—someone in the employee's position to demonstrate.
- (c) Make a list of the performance behaviors you hope the employee will change before you begin your session so that you will be ready to discuss them.

Step 2: Observe the employee's performance.

- (a) Focus on specific behaviors that can be measured and changed.
- (b) Don't just make note of what the employee is doing wrong. Keep track of what the employee is doing right so that you can build on his/her strengths during the coaching session.
- (c) Determine the priority of the behaviors that the employee needs to improve. Don't try to work on everything at once; select the behaviors that are most important for the employee's success and concentrate on them first. You can work on other behaviors in future coaching sessions.

Step 3: Analyze the problem.

- (a) What aspects of the employee's performance are unsatisfactory?
- (b) Is it worth my time to coach in this situation?
- (c) Does the employee know my expectations?
- (d) What obstacles are there to meeting those expectations? Are extenuating circumstances preventing the employee from doing his or her best?
- (e) What negative or positive consequences follow performance?
- (f) Could the employee change if he/she wanted to?

Step 4: Plan your strategy or approach for the coaching session.

- (a) Plan how to present the information to the employee in the most effective manner.
- (b) Adapt your coaching method to the employee's personality.

Conducting the Coaching Session

Step 1: Create a comfortable coaching environment.

- (a) Choose an appropriate time and place for coaching. If possible, select a location in which you can sit next to the employee rather than across a desk.
- (b) Establish rapport with the employee and clearly state the purpose for the meeting.

Step 2: Describe the performance problem and your expectations for performance.

- (a) Begin by describing the performance problem you identified in your observation of the employee, and compare the employee's current performance to your expectations.
- (b) Describe employee performance in precise, objective terms, such as speed/rate, quantity, accuracy, thoroughness, and timeliness.

Step 3: Encourage employee self-assessment.

- (a) Give the employee a chance to evaluate his/her own performance. Employees will be much more willing to participate actively in the coaching session if they have a chance to describe their own side of the situation. Hearing the employee's perspective will also help you determine what extenuating circumstances could be affecting his/her performance.
- (b) If employees are hesitant to offer their own ideas about their performance, ask open-ended questions that start with the words, "who," "what", "where," "when," "why," and "how."
- (c) To be fully effective, a coach's open-ended questions must be paired with active listening techniques. Listening involves keeping an open mind and interpreting, evaluating, and reacting to what the employee says.

Step 4: Agree on the nature of the problem and the employee's role in it.

- (a) In order for coaching to be successful—and to determine whether it is needed at all—you and the employee must agree on the nature of the performance problem and the employee's role in it.
- (b) If you don't agree with the employee's view of the situation, you will need to provide more detailed feedback on performance to help the employee acknowledge the problem and take responsibility.
- (c) If you are persuaded that the problem lies outside the employee, then this might be a good time to arrange for further training or some other option.

Step 5: Explore alternative solutions.

- (a) After you and the employee have agreed on the nature of the problem, the two of you can collaboratively explore solutions to it.
- (b) The employee's involvement in the problem-solving process will lead to a better solution, which in turn will lead to better performance and improved productivity for your entire team.
- (c) Encourage the initiative, independence, and self-expression necessary for successful collaboration through indirect influence. Indirect influence consists

of four basic techniques: accepting feelings, developing ideas, giving praise and encouragement, and asking open-ended questions.

- (d) Provide detailed feedback to the employee regarding your performance observations.

Step 6: Agree on a solution to the problem.

- (a) As the employee and you collaborate on a specific solution, keep in mind that your solution must be realistic and workable in order to succeed. State your solution in terms of behaviors that the employee can perform and that you can observe and measure rather than in terms of attitude or emotions.
- (b) You can help your employee choose the best solution by asking open-ended “What if...?” questions to help the employee identify possible barriers to enacting the solution.

Action-Planning and Follow-up

Step 1: Create an action plan.

- (a) Once you and the employee have agreed on a workable solution, ask the employee to outline a plan for putting the solution into action. Then ask the employee to state it verbally.
- (b) Developing an action plan will not only give the employee direction for making the solution a reality, but it will also help build employee commitment to seeing the solution work.

Step 2: Monitor employee progress.

- (a) After you and the employee have agreed on an action plan, schedule a time when you can meet and discuss the employee’s progress. Schedule your follow-up meeting far enough in the future that the employee will have time to put the solution into practice but not so far off that he/she will begin to think that you’ve forgotten about the matter.
- (b) During the time period between, make note of what you observe, both the behaviors you want to reinforce and the behaviors that need further improvement. Record specific examples of each that you can share with the employee during the follow-up session.

Step 3: Provide follow-up coaching.

- (a) Like your original coaching session, your follow-up coaching session will give you a chance to provide the employee with feedback on what you have observed about the employee’s performance and give the employee a chance to describe any barriers he/she may have encountered.
- (b) You can also provide the employee with informal follow-up coaching as you observe his/her performance. Informal follow-up coaching is most effective if done immediately after you have observed the behavior in question.

HOW HUMAN RESOURCE SERVICES CAN ASSIST

Human Resource Services can assist supervisors in a number of ways with regard to the performance appraisal process and addressing employee performance problems, including:

1. Reviewing a performance appraisal for completeness and proper wording prior to the appraisal meeting.
2. Helping make a decision regarding an overall evaluation.
3. Answering questions regarding the availability of training and development programs.
4. Assisting in the counseling effort as it relates to an employee's poor performance.
5. Providing guidance with regard to the progressive disciplinary process.