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| **1** | **Understand UA’s performance evaluation process and forms.**   * Sign-up and attend HR’s Performance Evaluation training; * Review form(s) and guidelines on [HR’s website](https://hr.ua.edu/); * Contact your [HR Business Partner](https://hr.ua.edu/hr-business-partners) to discuss any questions about the process. |
| **2** | **Notify the employee and help them prepare for a meeting.**   * Notify the employee that the performance evaluation process is beginning; * Communicate the review cycle dates (April 1 – March 31); * Encourage the employee to think about:   + What were their accomplishments throughout the year;   + What lessons did they learn, what could they have done better or differently;   + What coaching or support do they need;   + What progress has been made on their goals/objectives;   + What professional development was completed;   + What professional development opportunities are they interested in? * Instruct the employee to complete a [self-assessment](https://hr-estus.fa.ua.edu/HRFormsOnlinePub/HR%20Forms%20%20Online/UA%20Employee%20Self-Assessment%20form.pdf) and return it within a designated timeframe (if applicable). |
| **3** | **Begin thinking about what you should consider and include on the evaluation form.**   * Make sure the employee’s position description is current. If not, update before proceeding; * Review last year’s evaluation, goals and objectives. Notate any areas that needed improvement from the prior year; * Review documentation compiled throughout the year on the employee, e.g. employee’s file, one-on-one meeting notes, accomplishments, areas needing improvement, progress toward goals and objectives; * Review the employee’s completed [self-assessment](https://hr-estus.fa.ua.edu/HRFormsOnlinePub/HR%20Forms%20%20Online/UA%20Employee%20Self-Assessment%20form.pdf) (if applicable); * Decide which evaluation form will be used, e.g. short or comprehensive. Some areas designate what forms supervisors must use; * Be consistent in what form is used. If the short form is used for exempt employee, it should be used for all exempt. The same is true for the comprehensive form. |
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| **4** | **Begin drafting the performance evaluation.**   * Review your notes and information from Step 3; * Ensure the evaluation is job-related, honest and fair; * Provide comments and examples to support the ratings:   + Comments are required for ratings of unacceptable, needs improvement, exceeds expectations;   + Comments should be objective, specific, observable and factual;   + Leave out personal opinions and assumptions; * Rate the employee’s performance, not their “attitude”; * There should be no surprises on the evaluation, if there are performance concerns conversations should have already taken place; * Be realistic. An evaluation should reflect actual performance and not be over inflated; * Protected or approved absences (to include but not limited to those under FMLA or Military Leave) should not be a consideration or commented on in the evaluation. * See “Supervisor TIPS for Completing the Performance Evaluation” (insert link) |
| **5** | **Finalize the evaluation form.**   * Review the draft document to ensure the completeness and accuracy of content; * Ensure ratings are consistent with comments and are job-related; * Discuss the evaluation with your supervisor to ensure agreement with the evaluation and the overall rating. |
| **6** | **Schedule the meeting with the employee.**   * Make sure the employee is given sufficient notice of the meeting time and location; * Ask the employee to bring any documentation they want to share as well as questions they want discussed; * Find a time and place that works for both you and your employee. If possible, have the meeting in a neutral location;   + Use a meeting space that allows for privacy;   + Schedule enough time for the meeting that is free from interruption; * Meet with the employee face-to-face. |
|  | Additional Resources:  UA Performance Evaluation Guidelines Supervisor TIPS for Completing the Performance Evaluation Coach to Improve Performance: Providing Constructive Feedback Setting SMART Goals |
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| **7** | **Before meeting with the employee**.   * Set the stage for an effective review – be prepared; * Create an agenda or bullet-point list of items to discuss; * Plan to be an active listener; * Anticipate questions and emotions. Determine how you will respond; * Make a copy of the finalized evaluation to provide to the employee. |
| **8** | **Meet with the employee.**   * Provide a copy of the evaluation to the employee (this can be done at the beginning of the meeting or at the end); * Cover the specifics of the evaluation; * Stay on task/point; * Remember an evaluation should motivate an employee to want to improve or continue good performance; * Be an active listener. Listen to and address concerns or areas of disagreement; * Invite questions and comments; * Ask for feedback on your performance as a supervisor (what do they need/expect from you); * Allow ample opportunity for the employee to respond to comments; * Work on problem-solving together rather than blaming; * If there is a point of disagreement, try not to respond defensively; * If the staff member has an angry or emotional response remember to:   + Listen. Pause. Breathe.   + Think about the emotions you are both experiencing and where they may be coming from;   + Respond by reflecting back what you think the employee is feeling. Be curious, ask questions. Kindly restate your point. |
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|  | |  |  | | --- | --- | | **Remember Do’s and Don’ts** | | | **Do’s:**   * **Problem Solve;** * **Focus on the entire year;** * **Be specific;** * **Ask for their opinions, suggestions, accomplishments, goals and needs;** * **Take an interest in your employee’s professional development.** | **Don’ts:**   * **Blame;** * **Consider only recent performance;** * **Generalize;** * **Focus on actions, goals and objectives that are not job-related;** * **Do all of the talking.** | |
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|  | * Have the employee sign to acknowledge receipt of the evaluation;   + If the employee wants to take the evaluation with them to review further allow them to do so; however, the employee should return the document signed within five business days of the meeting;   + If the employee wants to add comments or submit a rebuttal they may do so; and a deadline given of five business days to return. If comments/rebuttal is submitted attach the document to the evaluation;   + If the employee refuses to sign the evaluation document – write on the employee signature line “Refused to sign”, initial, and date; * The original evaluation should be sent to Human Resources: Box 870126, [HR Business Partner](https://hr.ua.edu/hr-business-partners). |
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| **9** | **Collaborate on solutions and goal setting.**  *Note: Set up a separate meeting, if needed, to establish and discuss goals, objectives, special assignments for the coming* year.  **Look at last year’s goals.**   * Did the employee meet their goals? Let the employee tell you what they think; * Provide your feedback; * Celebrate accomplished goals; * For unmet goals, talk about contributing factors:   + Was it a personal obstacle or something within the employee’s control? If so, how can you encourage and support success?   + Was it an external obstacle or something beyond the employee’s control? If so, is there something you can do to remove or mitigate the obstacle?   **Set goals for the coming year**.   * Encourage your employee to identify goals that they want to work on, especially those that align with UA and departmental goals; * Ask the employee to create a draft copy for your review; * Ask that goals be SMART (Specific, Measurable, Attainable, Relevant, Timebound). |
| **10** | **Coach to improve performance.**  See “Coach to Improve Performance: Providing Constructive Feedback.” (insert link) |
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