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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.
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| **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).
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| **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)
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| **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.
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| **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.
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|  | Additional Resources:UA Performance Evaluation GuidelinesSupervisor TIPS for Completing the Performance EvaluationCoach to Improve Performance: Providing Constructive FeedbackSetting 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.
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| **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).
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| **10** | **Coach to improve performance.**See “Coach to Improve Performance: Providing Constructive Feedback.” (insert link) |
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