GUIDELINES FOR COMPLETING AN OXY PERFORMANCE APPRAISAL

As you know, supervisors are expected to give their direct reports constructive feedback on a “real time” basis throughout the year. Our evaluation process also includes an annual formal Performance Appraisal process that represents an important opportunity to evaluate an employee’s performance and give meaningful feedback. This helps employees know how they are doing, understand ways in which they may improve and provides a vehicle for memorializing performance improvement goals that the employee and supervisor establish for the upcoming year.

At Oxy, the following forms (accessible at http://www.oxy.edu/human-resources/employee-forms) are available for the Performance Appraisal process. Instructions are set forth below.

- 2018 Annual Performance Appraisal, including the Goals and Development Worksheet
  
  **Instructions**

1. Complete the **Performance Appraisal** before you meet in person with the employee.

   a. List the three most essential job responsibilities from the employee’s Job Description; following that, list the Goals and Expectations for 2017/2018 and the level of expertise demonstrated for the position;
   b. Describe in a few paragraphs how the employee performs the job duties;
   c. Evaluate the employee’s performance using the following factors:

   - **Exceptional**: This rating occurs infrequently and acknowledges one or more of the following achievements: completion of a major goal, work performance that far exceeded expectations this year due to exceptional quality in all essential areas of responsibility, and or an exceptional or unique contribution.

   - **Exceeds Expectations**: Work performance consistently exceeds expectations. Demonstrates very high level of performance in all areas of responsibility.

   - **Successfully Meets Expectations**: Solid performance that consistently fulfills expectations and at times, may exceed expectations.

   - **Improvement Needed**: Performance does not consistently meet expectations. A professional development plan to improve performance must be outlined and monitored, with timelines for improvement established.
Unsatisfactory: Performance is consistently below expectations, and/or has failed to make reasonable progress. Significant improvement is needed in most aspects of this position.

The Performance Appraisal should be supported by specific examples of work that you have observed. Be thoughtful when assigning a rating. Keep in mind that “Successfully Meets Expectations” is considered acceptable performance -- although you are encouraged to provide feedback on how the employee may improve. Some supervisors evaluate “generously” so as to avoid awkward discussions or conflict. This will not help your employee improve or make changes to the way they perform at work. Be honest while using a respectful and professional tone. Consult with Human Resources if you need any assistance with this process.

d. Assess your employees with respect to the following general skills:
   - Communication Skills; Approach to Work; Initiative and Adaptability; Workplace Safety; and Supervisory Skills (if applicable)

e. At the bottom of the form, assign an overall performance rating. Employees have the right to respond to the appraisal in writing, either on the form itself or by attaching a separate document. Both you and the employee should sign and date the form.

f. Before you conduct the Performance Appraisal with your employee, you MUST review your feedback with your department Head or VP.

2. In-Person meeting with Employee

Meet in-person with the employee to discuss the performance appraisal. Try to create a relaxed and supportive environment. Explain how the evaluation process works (and describe next steps). Do your best to establish a climate of trust and encourage the employee to actively participate in the discussion. Try to start on a positive note; focus on the employee’s strengths and contributions before tactfully but honestly discussing performance areas that need improvement. Solicit the employee’s input about how to address a performance concern and try to come up with a solution together. If there are any areas in which the employee is not meeting their job expectations, explain to the employee that you will work together to develop an improvement plan and continue the discussion periodically over the next few [weeks, months, depending on the issues]. Human Resources is available to help you plan for this continued discussion.

3. Round out the process with the Goals and Development Worksheet. At the in-person meeting, you should engage the employee in a discussion about specific goals (both individual and team), and set expectations for the upcoming year. This dialogue creates an opportunity for you to offer training opportunities to assist the employee in attaining these goals. It is recommended that you complete this worksheet at the meeting. Both you and the employee should sign and date the worksheet.
The Performance Appraisal process is a critical tool for Oxy managers. Please contact Human Resources if you need any assistance in planning and executing this essential management requirement.

Thanks for your cooperation.