

# **RATER'S GUIDE**

**STATE OF ALASKA**

**Division of Personnel & Labor Relations  
Department of Administration**

**January 2012**

## **Limitations on the Use of the *Rater's Guide***

The *Rater's Guide* does not constitute a contract of employment, nor does it modify or alter any contract, collective bargaining agreement or statute that governs an employee's employment with the State. It is subject to change from time to time.

The *Guide* does not alter the employing agency's right to determine, in its sole discretion, whether or not an employee has successfully completed or will successfully complete his or her probationary period. Evaluations provided to a probationary employee are provided for the employee's benefit, not because the employing agency has any obligation to demonstrate that a just cause standard has been met in determining that an employee has not or will not successfully complete the probationary period.

The *Rater's Guide* replaces the 1984 *Rater's Guide to Performance Appraisals* and its subsequent revisions.

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## Introduction

The performance appraisal process is an effective management tool for establishing and maintaining a vital communication link between supervisor and employee and for improving employee job performance and behaviors. Performance appraisal is an ongoing process. The *Rater's Guide* contains a general discussion of the process, with primary focus on the steps typically taken by a supervisor to analyze performance and to report the evaluation assessment.

## Authority

AS 39.25.150(14). Scope of the Rules

*The Personnel Rules must provide for the development, maintenance, and use of employee performance records.*

2 AAC 07.295. Personnel Evaluation

*(a) the director [of the Division of Personnel] shall prescribe the nature, form, and frequency of personnel evaluations and may require a personnel evaluation at any time during an employee's probationary period.*

*(b) the director [of the Division of Personnel] may take any action necessary to secure the correction of an evaluation report that is in error.*

*(c) the standards of performance that are established as a basis for personnel evaluation must relate to the duties of the employee's position and the job class to which it is allocated.*

*(d) the employee's supervisor shall discuss each personnel evaluation with the employee, with a goal of assisting the employee to understand the degree to which the employee is meeting the requirements of the position.*

*(e) the appointing authority shall file employee evaluations with the director. An employee evaluation is open to inspection by the employee or the employee's designated agent. The evaluations must also be open for inspection, for employment related considerations, by other officers and employees at the discretion of the director [of the Division of Personnel].*

The main purpose of the *Rater's Guide* is to provide information about the specific provisions regarding personnel evaluations identified in 2 AAC 07.295.

Some collective bargaining agreements make reference to performance evaluations or contain specific terms related to them. Such provisions are subject to change during the negotiation of collective bargaining agreements. It is not the intent of the *Rater's Guide* to provide up-to-date information on the terms of a particular collective bargaining agreement. Where references are made to collective bargaining agreements, the purpose is to explain the performance evaluation process in the broad context of a human resource system which operates within both merit system rules and collective bargaining.

## Overview of the Performance Appraisal Process

Evaluating job performance and filling out a performance evaluation report fit within the larger performance appraisal process. While many different models are used to describe this process, they typically include the following six steps:

- Clarify the job duties
- Communicate performance expectations and standards
- Observe and document performance
- Analyze performance
- Report performance
- Develop performance

A list of steps looks like a linear process, but the performance appraisal process is actually cyclical. Supervisors continuously assign work, communicate performance expectations, observe and record performance, and evaluate how well the work has been done. Change in any one of these steps may trigger change or a need for action in another.

Some steps in the performance appraisal process, such as observing performance and giving feedback, are often performed ad hoc in the course of daily interactions or the routine review of work products. Other steps, such as documenting performance or clarifying job duties, are more typically done according to a defined process or schedule, such as an evaluation written at an employee's merit anniversary date or a position description (PD) updated in preparation for recruitment.

## Roles and Responsibilities

In each of the steps, whenever they may occur in the process, the supervisor, the employee and the human resource staff usually have a role. Some typical examples are shown in the following table:

Step	Supervisor	Employee	HR Staff
Clarify the job duties	<ul style="list-style-type: none"> <li>Read Position Description (PD) and define the roles, responsibilities, and working relationships of the employee's position</li> <li>Update PD as necessary to accurately reflect the major duties</li> </ul>	<ul style="list-style-type: none"> <li>Read (PD) to understand the roles, responsibilities, and working relationships</li> <li>Offer feedback to supervisor if PD appears inaccurate or out-of-date</li> </ul>	<ul style="list-style-type: none"> <li>Classify position described by new or revised PD</li> </ul>
Communicate expectations and standards	<ul style="list-style-type: none"> <li>Based on the PD and other relevant information, define acceptable performance. This may include either ongoing or specific accomplishments expected during an appraisal period, or both</li> <li>Communicate the expectations and standards to the employee.</li> <li>Set goals</li> </ul>	<ul style="list-style-type: none"> <li>Verify understanding of performance expectations and standards</li> <li>Ask questions if clarification is needed</li> <li>Clearly communicate to supervisor if expectations or standards will not or cannot be met</li> <li>Participate in goal setting</li> </ul>	<ul style="list-style-type: none"> <li>Available for coaching and consultation, including review of proposed expectations and standards</li> </ul>
Observe performance	<ul style="list-style-type: none"> <li>Review and evaluate employee's performance</li> <li>Coach employee as needed</li> <li>Provide prompt feedback to employee regarding his/her performance</li> <li>Document employee's performance</li> </ul>	<ul style="list-style-type: none"> <li>Monitor own performance.</li> <li>Act upon suggestions made by supervisor to improve performance</li> <li>Clearly communicate to supervisor training and development needs in order to address skill gaps</li> </ul>	<ul style="list-style-type: none"> <li>Assist supervisor with performance related questions</li> </ul>
Analyze performance	<ul style="list-style-type: none"> <li>Based on records and observed performance, determine to what degree expectations and standards were met</li> <li>Perform skill gap analysis</li> <li>Provide feedback to employee regarding his or her performance</li> <li>Coach employee as needed</li> </ul>	<ul style="list-style-type: none"> <li>Provide documentation of performance as requested</li> <li>Notify supervisor of any unique or mitigating circumstances</li> </ul>	<ul style="list-style-type: none"> <li>Available for coaching and consultation</li> </ul>
Report performance	<ul style="list-style-type: none"> <li>Document performance observations, including commendations</li> <li>Prepare disciplinary action documents when warranted</li> <li>Note: <i>Disciplinary action for performance problems is related to performance evaluation, but the subject differs in important ways and is outside the scope of the Rater's Guide</i></li> <li>Write performance evaluation</li> </ul>	<ul style="list-style-type: none"> <li>Read performance evaluation or other documentation</li> <li>Ask questions if clarification is needed</li> <li>Discuss performance information with supervisor</li> </ul>	<ul style="list-style-type: none"> <li>May inform supervisor when performance evaluation is due</li> <li>Review evaluation or disciplinary documents and offer advice as needed</li> <li>Available for coaching and consultation</li> </ul>
Develop Performance	<ul style="list-style-type: none"> <li>Identify and communicate specific needs for growth and improvement in performance</li> <li>Communicate skill gap analysis</li> <li>Set goals</li> <li>Coach employee to goals</li> </ul>	<ul style="list-style-type: none"> <li>Verify understanding of developmental needs and skill gaps</li> <li>Work with supervisor to set goals and develop plan of action</li> </ul>	<ul style="list-style-type: none"> <li>Available for coaching and consultation</li> </ul>

## Clarify the Job Duties

Clarifying the job duties helps the supervisor and the employee gain a mutual understanding of what the job is, how it fits in with the other jobs in the section, and which job tasks or performance elements (groupings of like tasks) are of particular importance in measuring successful performance of the job.

Collecting information about the job is, of course, an integral part of this step. A good place to begin is with the PD, the purpose of which is to describe the duties of a position.

The State of Alaska performance evaluation report has a place where the supervisor checks whether the position description was reviewed by the rater and, if not, the supervisor is asked to explain. This question prompts the supervisor to consider the degree to which an understanding of the job duties should be a factor in the rating process and also is a reminder that position descriptions require regular review and maintenance.

Another important source of information about a position's duties is the employee who does the work. In discussing job tasks with the employee, the supervisor may discover that the employee is doing more or different work than was assigned, may not be doing tasks the supervisor thinks are important or is doing them incorrectly. Discussing job tasks provides the opportunity to reach a mutual understanding about job duties and performance expectations.

Other important sources for job information, particularly for professional and managerial jobs:

- Budget or operating documents

Budget documents can provide information about whether funds have been allocated for a special purpose connected with work assigned to a position, such as federal funding for a particular project, or whether a specific task or program is targeted for completion in a particular year. Such expectations may be sufficiently important to successful performance that supervisors should write specific performance goals or standards related to this work.

- Organizational goals

Some agencies have written goals for a unit, section, division or for the entire department that directly influence the position's essential duties and responsibilities.

## Communicate Expectations and Standards

The Personnel Rules (2 AAC 07.295) provide this guidance about evaluating employees:

*The standards of performance that are established as a basis for personnel evaluation must relate to the duties of the employee's position and the job class to which it is allocated.*

In keeping with this focus on job-related evaluation criteria, the performance evaluation form identifies four specific rating areas as the basis for evaluating employees:

- Performance
- Work Habits
- Interpersonal Relationships
- Supervision

The first three apply to all employees; the fourth, supervision, applies only to those employees who perform supervisory duties. This includes lead as well as full supervisory duties, even though the level of supervisory authority assigned to lead positions is lower than that assigned to full supervisory positions.

The specific rating areas on the evaluation form provide the framework for supervisors in evaluating performance and making an overall rating. The specific rating areas vary in relative importance from position to position and consequently will not usually carry equal weight in rating overall performance.

Supervisors have considerable discretion to decide which of a position's ongoing or assigned duties are most important in any given rating period and to select which performance measurements to use in evaluating the work. Factors such as the type of jobs supervised and an individual supervisor's preference for a particular management system will influence what approach the supervisor takes in establishing expectations.

Some positions perform work for which clear and objective measurements of performance can be developed for most duties or groups of related duties. A clerical position, for example, might have this performance standard: Form XX should be filed no later than two days after completion. For standards such as these to be useful, reporting systems have to exist or be created. In the clerical example, a method of identifying the date each Form XX was completed as well as the date each was filed is required. If an appropriate reporting system does not exist or will not be created, the performance expectation needs to be rewritten.

Other positions, typically management or high-level professional positions, have broad responsibilities with substantial freedom to select methods of accomplishing the work. Developing precise performance standards may not be practicable or advisable. Performance may best be measured for these positions against performance goals. These often are developed to define expected accomplishment within a particular timeframe or for a particular action or event. An example of a performance goal is "Project will be completed within six months without overtime." Sometimes performance goals are included in agency budgets, fiscal year objectives or similar sources.

Typical performance measures include:

1. **Quality:** how well something is done
  - Accuracy
  - Neatness of product or service
  - Usefulness of product or service
  - Complaints and praise from users and clients
  - Error rate
2. **Quantity:** how much is done
  - Portion of total work load done
  - Percent increase or decrease
  - Number of units produced
3. **Timelines:** how timely something is done
  - Turnaround time
  - Performance against established deadlines
4. **Manner:**
  - Way in which something is done, style
  - Communication and other interpersonal behaviors
5. **Method:** the procedures, policies and technical requirements followed in doing something
  - Process flow
  - Independence
  - Safety
  - Degree to which work can be duplicated
6. **Cost:** dollars, staffing, time factors
  - Actual or percent of savings
  - Percent of overtime

The greater the mutual understanding about expected job performance between a supervisor and employee, the better. Employees who understand what is expected are more likely able to deliver acceptable performance; the sooner the employee is aware of the standards, the greater chance the employee can perform the work in an acceptable manner from the beginning.

Communicating the standards and expectations orally and in writing and allowing the employee the opportunity to ask for clarification or discussion of the standards is important. Standards should be reasonable, attainable and measurable.

## Observe Performance

In an effective organization, job performance is continuously monitored. Productive observation requires consistent measurement and ongoing, timely feedback to employees.

Although every supervisor's approach to observing an employee's performance is unique, the basic method should include these steps:

1. Monitor the employee's performance
2. Provide timely feedback to the employee
3. Document observations and feedback

### 1. Monitor the employee's performance

Observations can be planned or spontaneous. Communicating with employees ahead of time about the various ways performance is monitored is desirable. The following are some ways to observe performance:

- **Reports:** Establish a performance expectation requiring an employee to provide regular status reports on his or her performance.
- **Meetings:** Schedule regular meetings to stay informed about the employee's performance, such as status meetings on a long-term project.
- **Feedback from third parties:** Lead workers and coworkers may provide feedback about an employee's job performance. The accuracy of this kind of feedback should be verified.
- **Examples:** Collect copies of written documentation or examples of an employee's work product.
- **Management by walking around:** Walk through the employee's work area to observe job performance.

### 2. Provide prompt feedback to the employee

- Feedback is a valuable tool that supervisors can use to ensure clear, consistent communication about an employee's performance. It is most effective when given promptly after an occasion arises that warrants it, whether the occasion is a problem that needs correction or a task-well-done that warrants praise. This general job-related feedback is an essential component of coaching, and can be even more effective when the feedback is expressed in terms of particular performance expectations or standards.
- Asking employees to evaluate their own performance regularly can be useful in determining how well the supervisor communicates with the employee.

### 3. Document observations and feedback.

Keeping notes about performance and collecting other documentation throughout the rating period is a good habit for supervisors. They must be available for the employee's review upon request. Documentation may include:

- Specific instances of work that fall short of the standard or exceed the standard
- Commendations or critical comments received about an employee's work
- Reports about absences if they affect performance
- Records of any disciplinary action
- Records of discussions related to work performance
- Special activities or awards the employee received that reflect on work performance
- Notes on informal performance reviews and feedback

## Analyze Performance

A performance evaluation process that involves consistent and frequent observation, feedback and analysis allows for timely changes to unrealistic expectations or problematic performance.

Employee performance must be analyzed before writing a performance evaluation. Typically, this analysis requires a review of overall performance during a pre-determined period, often a year. Effective supervisors do not wait for this annual occasion to analyze performance, however; they do it continuously as part of an ongoing effort to improve the work processes and products of individual employees and of the unit. This process is typically less formal than the annual review and does not usually involve a review of all areas of responsibility.

In order to determine the level of performance an employee has achieved, performance documentation should be compared against the standards and expectations for the position. The following steps may be used when analyzing an employee's performance:

### 1. Compare records and observations to the expectations and standards

Were the expectations achieved, partially achieved, or not achieved?

### 2. Determine at what level of performance the employee has met or is meeting the expectations and standards

- Performance standards can be helpful with this.
- Standards that are reasonable for one position (or group of like positions) may not be reasonable for a position with similar duties in another organization context. Also, even though standards may be written for most duties of some positions, supervisors and employees need to understand that the supervisor's decision about how to rate performance in total is a judgment involving the relative importance of job performance in various areas over a period of time. It is not an arithmetic problem that requires various ratings to be added up and then divided to get an average rating.
- In the formal evaluation report, there is an overall rating that provides for distinguishing the various levels of acceptable performance, but this distinction may not be made in the kind of informal analysis of performance that is ongoing throughout the annual rating period.
- Determine if special circumstances existed during the rating period that affected the employee's ability to meet standards, negatively or positively.

### 3. Communicate findings to employee

- Provide prompt, objective, job-related feedback to the employee.
- Show the employee how the employee's performance is or is not meeting the expectations and standards. Discuss the results and work with the employee to identify solutions, if needed.
- Document the discussion with the employee and keep this with other records of performance being collected for the evaluation period.

## Report Performance

Performance can be reported informally or formally throughout the performance appraisal cycle. Both methods help the supervisor and employee to be aware of whether or not performance expectations are being met and how well.

### Informal Review

The informal review is based on day-to-day contacts between supervisors and employees in which employee progress is checked and performance is discussed with the employee as contrasted with a formal review involving the preparation, presentation and discussion of a performance evaluation. During these informal reviews, plans for correcting performance deficiencies or for developing performance may be made and performance may be monitored for progress in meeting the plans. Inaccurate or inadequate performance expectations may be identified and corrected.

The ongoing informal review is an important part of the performance appraisal process. When these informal reviews are documented and relied upon in preparation of the formal evaluation report, the latter evaluation report is much like a summary of the informal reviews.

### Formal Review: Process Steps

The formal performance evaluation review process enables the supervisor and employee to discuss where performance was strong and where it could have been stronger, to identify factors or circumstances that may have affected performance, to make changes in job duties and performance standards, and to look for ways to improve performance in the future. The formal review allows the supervisor and employee to step back for a moment to put performance into perspective, to summarize what has happened in the past, and to plan for the future. The performance evaluation is not normally the place to point out problems with job performance or behaviors for the first time, except as it may occur as part of establishing goals.

#### 1. Determine the type of performance evaluation to be written

Some performance evaluations are required and some are discretionary. Below are the most common reasons for preparing a performance evaluation for a State of Alaska classified employee (Note: Specific requirements are subject to the applicable collective bargaining agreement provisions.)

**Required:** *The following evaluations are required by statute, regulation, contract or other authority and must be completed.*

Interim	<ul style="list-style-type: none"> <li>• Probationary employees are due an interim performance evaluation completed halfway through their probationary period.</li> <li>• Failure to provide the interim performance evaluation may affect a department's decision to separate a probationary employee. See the applicable collective bargaining agreement as well as Alaska Supreme Court decisions <u>Cassel v. State of Alaska</u> (Opinion No. 5334 – December 15, 2000) and <u>Blackburn v. State of Alaska</u> (Opinion No. 11096 – December 17, 2004).</li> <li>• Additional guidance is available in the <a href="#">February 28, 2005, Division of Labor Relations memorandum</a> regarding the non-retention of initial hire probationary employees.</li> </ul>
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Completion of probation	<ul style="list-style-type: none"> <li>Employees are due a performance evaluation documenting successful completion of the probationary period. This applies specifically to the General Government, Supervisory, Confidential, Correctional Officer, Public Safety, and AVTEC bargaining units.</li> </ul>
Annual	<ul style="list-style-type: none"> <li>Permanent employees are due a written performance evaluation annually. This applies specifically to the General Government, Supervisory, Confidential, Correctional Officer, Public Safety, and AVTEC bargaining units.</li> </ul>
Separation from state service	<ul style="list-style-type: none"> <li>An employee is due a written performance evaluation when he or she leaves state service.</li> </ul>

**Recommended:** *Evaluation types described in this section are not required. They do serve useful performance management purposes; therefore, the Division of Personnel & Labor Relations recommends that they be completed in accordance with department policy and procedure.*

Change of supervisor	<ul style="list-style-type: none"> <li>A performance evaluation may be written when there is a change of supervisor.</li> </ul>
Transfer	<ul style="list-style-type: none"> <li>A performance evaluation may be written when an employee transfers to another department or position.</li> </ul>

**Discretionary:** *Evaluation types described in this section are not required by statute, regulation, contract or other authority. They may be completed at the discretion of the supervisor and are recommended by the Division of Personnel & Labor Relations as good management practice.*

Performance Driven	<ul style="list-style-type: none"> <li>A performance evaluation may be written when an employee's performance becomes less than acceptable. The HR staff can provide agency guidelines.</li> </ul>
Requested by the employee	<ul style="list-style-type: none"> <li>Employees in some bargaining units may request a written performance evaluation at reasonable intervals.</li> </ul>
Promotion	<ul style="list-style-type: none"> <li>A performance evaluation may be written when an employee promotes to another position.</li> </ul>
Demotion	<ul style="list-style-type: none"> <li>A performance evaluation may be written when an employee demotes to another position, voluntarily or involuntarily.</li> </ul>
Seasonal	<ul style="list-style-type: none"> <li>A performance evaluation may be written when an employee goes on seasonal leave without pay after seasonal employment of more than 30 days.</li> </ul>

Supervisors should contact their Departmental HR staff and/or Division of Personnel & Labor Relations (DOPLR) HR to ensure all evaluations are in accordance with state and department policy and procedure.

## 2. Write the performance evaluation

The State of Alaska uses a standard personnel evaluation form. The four key sections of the evaluation form are the specific rating areas, the overall effectiveness on the job rating, the narrative section and the rater's recommended action. These four sections are described in greater detail below.

### (1) Specific Rating Areas

- Check the appropriate box in each of the applicable rating areas. These ratings must be consistent with the narrative section and with the rating for overall effectiveness on the job.
- The specific rating area of Performance is judged on the basis of the particular requirements of a position and the performance expectations for a particular rating period. The items in parenthesis are suggestions of performance areas that apply generally, but they do not each have to be discussed in the narrative. Performance areas that are considered in determining the rating usually does need to be discussed though, particularly those for which performance is less than fully acceptable or is outstanding.
- The specific rating areas of Work Habits and Interpersonal Relationships are listed and rated separately, but their importance is tied to the rating area of Performance. A position assigned to serve the public at a counter might be weighted more heavily for attendance and punctuality than a position that primarily processes paper. If the overall rating is most heavily weighted by the categories of Work Habits or Interpersonal Relationships, the supervisor needs to explain specifically in the narrative how these relate to job performance and why they are particularly important for the position to which the employee is assigned.
- The Supervisory rating area is for employees who have supervisory (including lead) responsibilities as outlined on the form, regardless of the bargaining unit to which that employee belongs.

### (2) Overall Effectiveness on the Job

- The overall effectiveness rating in the Narrative Section is more than an average of the boxes in the Specific Rating Area. It is a summary of the employee's total job performance. For example, an employee's performance is rated acceptable in the Performance and Work Habits specific rating areas and unacceptable in the Interpersonal Relationships area. A critical performance standard for the position is interpersonal relations with the public. The employee's overall effectiveness could be low or even unacceptable, based on the position's performance standards. Such cases must be fully explained in the narrative section of the report.
- Departments have different requirements for processing an overall rating of Outstanding or Unacceptable on performance evaluations. Consult with your Departmental HR staff for department specific requirements.

**(3) Narrative Section**

- The most important section of the performance evaluation is the narrative. The supervisor's comments here will provide valuable documentation for making future personnel decisions and give employees information and feedback for improvement.
- The narrative section of the performance evaluation must support the overall effectiveness rating and the specific area ratings.
- In preparation for writing this, review notes and records kept throughout the rating period to ensure performance is reported accurately. Explain performance in terms of specific, measurable and attainable performance expectations in place during the rating period.
- Narratives should focus on performance and behavior and must conform to current regulations and policies. Mention of personal items such as age, gender, marital or parental status, physical condition, number of approved leave hours used, religious affiliation, race, color and national origin must be avoided.
- Your Departmental HR Staff and/or DOPLR HR should be contacted for additional guidance on what information is protected and therefore may not be included in a performance evaluation.
- If the employee being evaluated is a supervisor, it is recommended that his/her effectiveness in the areas of cost effectiveness, management ability and Equal Employment Opportunity/Affirmative Action be assessed.
- If the supervisor is using an approved performance grid as part of the performance evaluation, the narrative section is used to discuss exceptions or areas not covered by the performance grid. A performance grid does not replace the State of Alaska's official performance evaluation form and use of a grid must be preapproved by the Director of the Division of Personnel & Labor Relations.

**(4) Rater's Recommended Action**

- The Rater's recommended action has an impact on an employee's career. When an employee is not recommended for rehire, under 2 AAC 07.112 he or she may:
  - 1) Lose noncompetitive rehire rights in the job class for which they were not recommended for rehire, and/or
  - 2) Be disqualified and removed from all classified applicant pools.
- Your Departmental HR Staff and/or DOPLR HR should always be consulted prior to giving an individual an evaluation that does not recommend the person for rehire.
- The following table summarizes the types of actions that can be recommended for each type of performance evaluation.

<b>Type of Evaluation</b>	<b>Possible Recommended Action</b>
Annual	<ul style="list-style-type: none"> <li>• Merit increase</li> <li>• Merit increase not recommended</li> <li>• Withdrawal of a merit increase</li> <li>• Continued employment</li> <li>• Pay Increment (applies to GGU, SU, CEA)</li> <li>• Service Step (applies to LTC)</li> </ul>
Resignation	<ul style="list-style-type: none"> <li>• Recommended for rehire</li> <li>• Not recommended for rehire</li> </ul>
Completion of probation	<ul style="list-style-type: none"> <li>• Permanent status</li> <li>• Permanent status and merit increase</li> </ul>
Interim	<ul style="list-style-type: none"> <li>• Continued employment</li> <li>• Recommend early permanent status (check appropriate contract and department policy for this)</li> </ul>
Transfer	<ul style="list-style-type: none"> <li>• Continued employment</li> </ul>
Voluntary demotion	<ul style="list-style-type: none"> <li>• Recommended for rehire</li> <li>• Not recommended for rehire</li> </ul>
Involuntary demotion	<ul style="list-style-type: none"> <li>• Not recommended for rehire (you may use qualifiers)</li> </ul>
Dismissal	<ul style="list-style-type: none"> <li>• Dismissal</li> <li>• Not recommended for rehire</li> </ul>
Non-retention of a initial hire probationary employee	<ul style="list-style-type: none"> <li>• Non retention in probationary position</li> <li>• Not recommended for rehire</li> </ul>
Promotion	<ul style="list-style-type: none"> <li>• Recommended for rehire. Promotion to...(use for flexibly staffed and coupled classes)</li> </ul>
Extension of probation	<ul style="list-style-type: none"> <li>• Extension of probation through...</li> </ul>
Change of supervisor when none of the above are present	<ul style="list-style-type: none"> <li>• Continued employment</li> </ul>

**Cautions**

There are many pitfalls to avoid in reviewing performance. A supervisor may inadvertently distort the employee's evaluation or rating through one or more of the following:

Nature of Error	Definition
Halo or Bias	The Halo effect is displayed when very good performance in one aspect of the job is carried over into evaluating other aspects, resulting in a higher rating than is warranted. The Bias effect is just the opposite.
Leniency and strictness	In any population of raters, some are more lenient or strict than others. If there are extreme variations between supervisors, employee morale suffers.
Recency	Recently achieved results are weighted more heavily than those achieved earlier in the rating period.
Similar-to-me	The tendency to rate people who are like you more favorably.
Unclear standards	Standards are not clearly understood and agreed upon at the beginning of the evaluation period.
Personality bias	When a supervisor's personal liking for or dislike of an employee influences the rating.
Insufficient evidence	Basing judgment of an employee on inadequate, inaccurate or incomplete information.
Position	When a rating is influenced by the perceived importance or lack of importance of a position.

**3. Discuss evaluation and ratings with the employee**

- Identify areas that are working well or need improvement
- Make necessary adjustments to keep things running smoothly and avoid foreseeable problems in the future
- Listen to employee's input or request for changes or additions to the performance evaluation. Consider whether to revise the evaluation prior to signing and final processing

## Review of the Performance Evaluation

The State of Alaska performance evaluation system provides managers with the opportunity to review evaluations before they are presented to and discussed with the employee being evaluated. Supervisors should follow their department or division guidelines on the evaluation review process. The reviewer may be the commissioner, division director or section or unit manager.

The function of the reviewer is not to redo the evaluation but rather to ensure the rating procedure used by the supervisor is fair and conforms to the guidelines outlined in this publication and in department policies and procedures. Any disagreements between rater and reviewer should be resolved and changes resulting from management review should be incorporated into the evaluation prior to the evaluation being seen by the employee. Your Departmental HR Staff and/or DOPLR HR is always available for consultation.

## Develop Performance

The purpose of this step in the cycle is to help supervisors and employees decide how they can work together to maintain or increase employee performance and to more fully develop the employee's potential value. The development process consists of five basic activities: determining if change is needed, analysis, planning, implementation and evaluation.

### 1. Determining if change is needed.

The purpose of this step is to decide if and how employee performance could be developed. Supervisors should answer these questions:

- Where should the job go during the next year?
- Is it necessary to improve performance, or is maintaining performance the appropriate thing to do?
- What is the employee's potential for growth?
- How can that potential be developed to be consistent with agency goals?

### 2. Analysis

Review the performance evaluation and identify any performance gaps that exist. Performance gaps are defined as deviations from the performance standards or goals, or the difference between actual performance and desired performance.

Once the performance gap(s) is identified, determine the reason or cause. Work with the employee whenever possible to identify the reason. The following are examples of reasons that might apply in a situation in which a clerk typist demonstrates a performance gap:

- Good performance is punished when, as a result of being able to type 60 wpm, the employee receives a bigger typing load than other employees
- Good performance is not rewarded when an employee types 60 wpm, more than other similar employees, yet the more interesting tasks are given to others
- An obstacle blocks employee performance when a typist is expected to use an outdated computer not capable of supporting the demanded workload
- The employee just doesn't want to type for whatever reason

In some cases, personal problems may hinder an employee from meeting performance standards. Performance problems that seem to stem from personal problems may require special methods of resolution, including referring the employees to professionals for assistance. On the other hand, sometimes care must be taken to treat the problems no differently than any other performance problem. For these situations, supervisors can consult your Departmental HR Staff and/or DOPLR HR for guidance.

### 3. Planning.

The proper solution to the performance gap depends on the reason(s) for the gap. Once needs have been identified, planning to meet those needs can begin. Successful planning is a joint effort between the supervisor and employee. It helps to clarify and prioritize the needs and to choose an appropriate technique to meet those needs.

- If the performance analysis revealed a performance gap that appears to arise from a **lack of knowledge, skill, or ability**, focus in the planning stage on finding training and/or proficiency development solutions.
- If the gap is **how to develop an employee who is consistently at or above standards**, focus on how to develop that person's potential for advancement or job expansion consistent with agency goals.
- Identify the needs associated with the performance gap and establish priorities:

**Improve performance:** Improvement needs are easily identified by comparing the performance standard objectives with the results achieved. Respond to these needs first so the employee can reach the desired level of performance. Improvement needs can be identified even if an employee's performance meets or exceeds the standards.

**Expand performance:** Change in the agency programs, staff, laws, policies or rules may lead to a change in the employee's responsibilities. This may mean that developing the employee's knowledge, skills, and abilities will be necessary to effectively respond to such changes and to maintain quality of job performance.

**Future career performance:** A supervisor can guide and assist employees in preparing for their career advancement by listening, asking good questions, giving realistic information, and challenging the individual. Responsibility for career advancement rests with the employee, but a supervisor can make an enormous difference in the success of the development by providing a supporting and trusting climate.

**Priority of needs:** The supervisor and employee may identify several developmental needs to work on, but there may not be adequate time to respond to all of them. Identify the needs most important to the supervisor, employee and the agency in terms of overall job performance.

- Choose development solutions after assigning priorities to the needs. Your Departmental HR Staff and/or DOPLR HR can help supervisors and employees select the most appropriate training.

- Types of Training

**Formal training:** This is generally defined as classroom instruction or some kind of structured independent study. Seminars, lectures, academic or technical courses, individual reading programs, laboratory training and computer-assisted learning are common types of formal training solutions.

**Informal job assistance:** This is another term for on-the-job training, which is provided or coordinated by the supervisor. Special work assignments, added job responsibilities, and supervisory coaching are common types of informal job assistance.

- **Special work assignments:** This gives the employee an opportunity to use and develop special talents in responsibility areas that are not part of the regular job. Generally speaking, special work assignments are closely supervised, short-term experiences.
- **Supervisory coaching:** The supervisor can help the employee recognize and correct mistakes, learn to apply special talents to the job, and solve or overcome specific work-related problems.
- **Add new and challenging responsibilities to the regular job:** This is another way to develop an employee's knowledge, skills, and abilities. It is a more sophisticated technique than special work assignments because the new responsibilities become a part of the employee's ongoing workload. Such added duties must be consistent with the job class of the position and the job description must be updated to reflect these new duties, or the updated position description should be reviewed for proper classification.

#### 4. Implementation

After identifying employee development needs, assigning priorities to them, and deciding which development solution or activity will best meet the most important needs, it is time to carry out the development plan. Ongoing open communication between the supervisor and employee will allow the supervisor to ensure the development plan is being implemented appropriately.

#### 5. Evaluation

Determine whether the development solutions did what they were supposed to do. Did the employee's participation in the development solution bring about the desired change in job performance?

Even the best-laid plans occasionally go awry. Re-enter the performance analysis step to see if something was overlooked or misinterpreted whenever the development plan does not have the desired impact.

Sometimes an employee cannot or will not improve. If the supervisor determines, after performance analysis and evaluation, that the solution to the problem is not a training or development solution and all appropriate individual development options available are exhausted, a decision must be made about the employee's future.

It may be time to move the employee to another job. It may be time to change the job requirements to fit the employee's capabilities more closely. It may be time to remove the employee from the job altogether. Your Departmental HR Staff and/or DOPLR HR should be involved before taking any of these actions.

Be prepared from time to time to encounter an employee who is meeting or exceeding standards in the present job and simply does not want to improve his or her performance, skills and abilities for whatever reason. If the job is static and the employee's performance is fully satisfactory, respect the employee's wishes until that person is ready for further development.

## **Summary**

A supervisor who skillfully uses the performance appraisal process clearly defines the job to be done, establishes acceptable performance expectations, carefully reviews and reports performance, and provides the developmental guides necessary to improve future performance. The supervisor gives the employee the assistance and tools necessary for his or her success on the job. The supervisor also carefully lays the groundwork for job accountability and provides much of the documentation necessary should an employee's inability to do the job necessitate disciplinary action.

**The key performance appraisal resource for supervisors is your Departmental HR Staff and/or DOPLR HR. Use them.**