

Appraising People and Performance

Workshop Purpose

To provide participants with the concepts and skills needed to conduct meaningful performance appraisal meetings with employees.

Learning Objectives

By the end of this workshop, participants will be able to...

- Analyze an employee's performance
- Develop strategies for responding to difficult appraisal situations
- Plan and conduct an appraisal meeting

Total Time

3½ hours

Workshop Outline

| Topic | Time |
|------------------------------------------------|-------------|
| Workshop Introduction | 10 minutes |
| Purpose and Importance of Appraisals | 20 minutes |
| Performance Management Cycle | 5 minutes |
| Planning for Performance | 10 minutes |
| Monitoring Performance | 10 minutes |
| Video Presentation | 15 minutes |
| Appraising Performance: Preparing the Employee | 5 minutes |
| Appraising Performance: Preparing Yourself | 30 minutes |
| Appraising Performance: Conducting the Meeting | 25 minutes |
| Practice Session | 60 minutes |
| Summary/Action Planning | 10 minutes |

Instructor Materials/Equipment

- ✓ Overhead transparencies, projector, and screen **OR** PowerPoint 97 slideshow disk, computer, and projection equipment. (**Note:** You have the choice of using either overhead transparencies or a PowerPoint 97 slideshow. If you do not have access to the equipment needed for either of these options, prepare the overhead transparency masters on flipchart pages.)
- ✓ EXCEL Video: ***Appraising People and Performance***
- ✓ VCR and monitor
- ✓ Flipchart easel, with paper and markers
- ✓ Thumbtacks or masking tape for displaying flipchart pages
- ✓ Name tent cards for participants
- ✓ Workshop Evaluation forms, if you are using them (one for each participant)

Participant Materials

- ✓ ***Appraising People and Performance Participant Workbook***
- ✓ Pens/pencils

Advance Preparation

1. Review all materials carefully, including this ***Instructor Guide***, the ***Participant Workbook***, overheads or slide presentation, and the EXCEL video. Make sure you are clear on how to conduct exercises and role plays.
2. Become familiar with the organization's policies and procedures regarding appraisals, or have a Human Resources representative available to respond to any issues or questions that may come up.
3. The performance appraisal planning sheet should be used to supplement the organization's existing appraisal procedure. The sheet is not intended to replace the organization's appraisal form, but rather to help managers and employees do a better job preparing for an appraisal.
4. This workshop touches on topics covered in other EXCEL workshops. Encourage participants to enroll in other workshops if they want to learn more about these topics.

| <i>Topic</i> | <i>Workshop</i> |
|-------------------------------------------------------------------|------------------------------------|
| How to establish goals and standards for planning for performance | Setting Goals and Standards |
| How to provide feedback | Training, Coaching, and Delegating |
| How to deal with performance problems | Disciplining and Counseling |

Principles of Adult Learning

This workshop is based on the principles of adult learning. Adults learn best when . . .

- They can focus on “real world” problems and see how the learning can be applied in the workplace
- Materials are related to their past experiences and to their own goals
- They are allowed to discuss and debate ideas
- Their opinions are listened to and respected
- They are encouraged to use one another as resources

The workshop is designed to provide ample opportunity for large and small group discussion, for skills practice in “real world” situations, and for participant interaction.

Workshop Kickoff

It is recommended that a representative from the organization (preferably a senior manager or designee) welcome the participants to the workshop and reinforce its importance and value—to them as supervisors and to the organization. This “kickoff” should be upbeat and brief. If an organizational representative is not available to do this, the instructor should be prepared to do so.

End-of-Workshop Action Planning

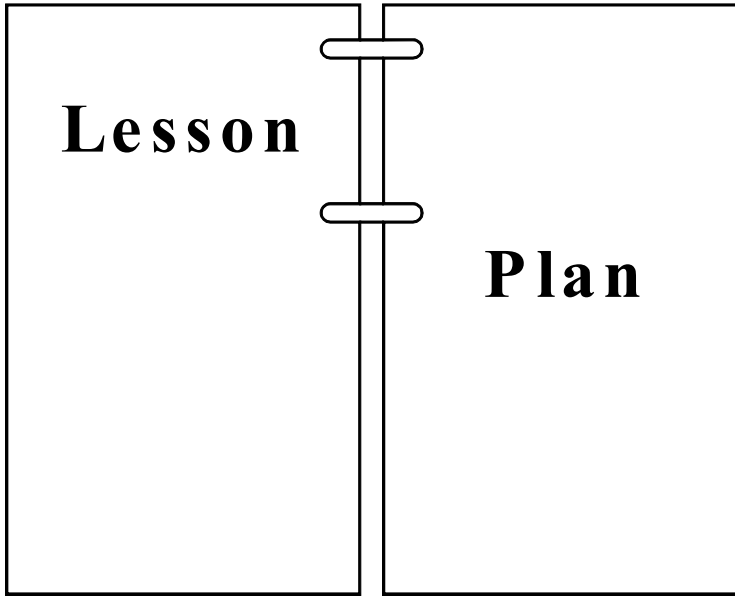
At the end of the workshop, participants will complete an Action Plan. An Action Plan outlines how they plan to use the skills and knowledge gained when they go back to the job—identifying what they plan to accomplish, by when, and how. The activities might be generic and ongoing (e.g., prepare daily “to do” lists) or specific and occasional (e.g., meet with each employee to hear their concerns about the reorganization).

You might ask participants to work individually or in pairs to develop their plans. If needed, do some brainstorming with the class to help everyone get started.

After participants have created their plans, have them share a few of their ideas. You may want to suggest that participants commit to following up with one another several weeks after the course to see how the action plans have been carried out.

Workshop Evaluation

Discuss ahead of time whether the client would like to have participants complete an end-of-workshop evaluation. The client might want to create his/her own evaluation or use the sample form provided with the workshop materials. This reproducible evaluation measures satisfaction with the workshop, but also attempts to measure the extent of the learning and the value to the organization.





Workshop Introduction

- Place a **Participant Workbook** and a name tent card at each person's place at a table, along with pens or pencils and a marker. As participants arrive, have them each write their name on the tent cards.
- Welcome participants to the workshop and introduce yourself.
- Make brief opening remarks, stressing the importance and value of effective performance appraisals. (**Note:** These remarks can be made by a representative of the organization.)
- Have participants introduce themselves. (You can do this as a large group; participants can also pair up and introduce themselves, and then take turns introducing their partner to the rest of the class.) Post on a flipchart any items they should cover—name, department, position, and what percent of each day they think they spend on performance appraisal.



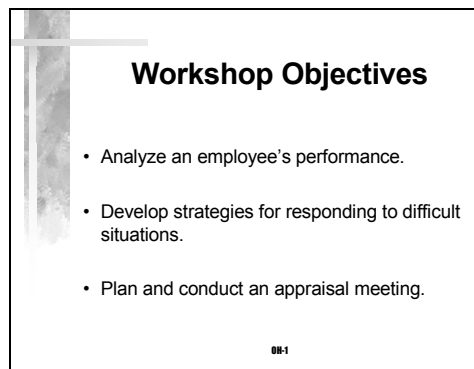
Purpose and Importance of Appraisals

- Explore participants' experiences with performance appraisals by having them think about an appraisal they were involved in. This could be an appraisal they gave to an employee or one they received from their manager.
 1. Ask participants to turn to Exercise 1 on page 2 of the Workbook. Review the instructions and give them about 5 minutes to complete the exercise worksheet.
 2. Ask volunteers to share with the class the responses they wrote on their worksheet.
- Confirm the positive feelings participants have about their experiences and acknowledge that negative feelings about performance appraisals are not unusual.
- Draw on the participants' experiences to explore some of the reasons for the negative feelings.
- Transition to the discussion of the benefits of conducting performance appraisals by saying that although people often have negative feelings about appraisals, they serve a good purpose. Explain that participants will now look at the benefits of performance appraisals to management, to the employee, and to the organization.
 1. Have participants form teams of 4–5 people.
 2. Refer participants to page 3 of their Workbook and have the teams list as many benefits of performance appraisals as they can for each of the three categories: the manager, the employee, and the organization.

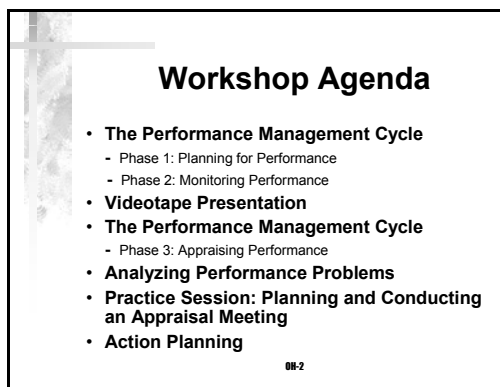




3. After about 10 minutes, call the teams together and ask how many benefits each team listed for the manager.
 4. Have teams share their lists of benefits to managers. Record these benefits on a flipchart. As each team reports out, tell them they do not need to repeat any benefits that have already been mentioned.
 5. Follow the same process for the list of benefits to the employee and to the organization.
- Summarize the exercise by complimenting the group on the number of benefits they have listed and emphasize that this shows how important performance appraisals are.
 - Explain that this workshop will teach them the concepts and skills needed to conduct meaningful performance appraisal meetings with employees. Learning and practicing these skills will also alleviate some of the negative feelings they have about appraisals, which they discussed earlier.
 - Show OH-1 (or Slide 1), *Workshop Objectives*, and review the workshop objectives.



- Show OH-2 (or Slide 2), *Workshop Agenda*, and review the workshop agenda and activities.



- Cover relevant administrative details (length of workshop, breaks, location of restrooms, etc.).

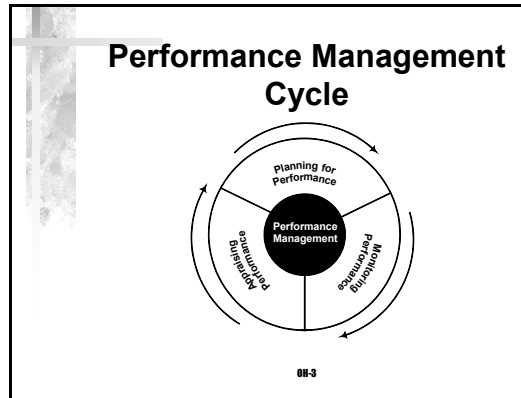


5 min.



Performance Management Cycle

- Show OH-3 (or Slide 3), *Performance Management Cycle*, and introduce the model of the Performance Management Cycle.



- Make the following key points...
 - To be effective on the job, all employees need to know what they are expected to achieve. Performance management includes the process of identifying employees' goals, merging them with the organization's goals, and setting performance standards. It is a time to make certain that they understand what is required and are developing the skills and knowledge they need to be high performers.
 - Managing performance means keeping employees focused on the right goals and helping them accomplish their job successfully. Both managers and employees share in this responsibility.
 - Managing performance is an ongoing, cyclical process. There are three key phases: *planning* for performance, *monitoring* performance, and *appraising* performance.
 - In the beginning of the cycle, plan goals and set standards for employees' performance.
 - Throughout the entire performance period monitor employees' performance and give feedback on how well they are performing.
 - In the third phase, appraising performance, assess what employees have accomplished and how well they have performed their jobs.

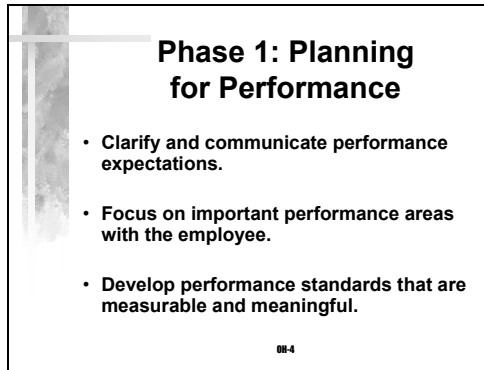


10 min.



Planning for Performance

- Show OH-4 (or Slide 4), *Phase 1: Planning for Performance*, and present the key issues related to effectively planning for an employee's performance.



- Make the following key points...
 - In the planning phase, you establish performance expectations and communicate them clearly to your employee.
 - You focus your employee on the important performance areas that impact your departmental or organizational goals.
 - You develop performance goals and standards that are measurable and meaningful, and communicate these to the employee. This way, he or she will know what you are appraising performance against later in the year.
- Describe the difference between goals and standards, making the following key points...
 - A goal is a statement of a specific result that is to be achieved in a stated time frame.
 - A standard refers to ongoing performance criteria. Standards are quantitatively or qualitatively expressed (for instance, production rates, safety standards, attendance, etc.).



- Show OH-5 and OH-6 (or Slides 5 and 6) and point out the difference between goals and standards.

Goals vs. Standards

GOALS

- To increase the total revenue in my territory this year.
- To provide a monthly forum for staff to discuss problems and share ideas.
- To maintain a high level of customer satisfaction throughout the year.

OH-5

Goals vs. Standards

STANDARDS

- Overtime pay will not exceed 3% of total wages (quantitative).
- Customers should not be placed on hold for longer than 3 minutes (qualitative).
- Telephone messages should include the date, time of call, caller's full name, and phone number (qualitative).

OH-6

- Lead a discussion on the importance of employee input in the planning phase by asking:



Q. What are the benefits of asking an employee for his or her input on performance goals and expectations?

- Possible responses include...
 - ❖ Gains employee commitment to goals
 - ❖ Ensures shared understanding of expectations
 - ❖ Allows manager to understand employee's point of view of the job



10 min.



Monitoring Performance

- Show OH-7 (or Slide 7), *Phase 2: Monitoring Performance*, and highlight the key factors for monitoring an employee's performance.

Phase 2: Monitoring Performance

- Communicate regularly to make certain that there are no surprises.
- Provide assistance/support to employees, as needed.
- Document performance accurately, objectively, and continuously.

OH-7



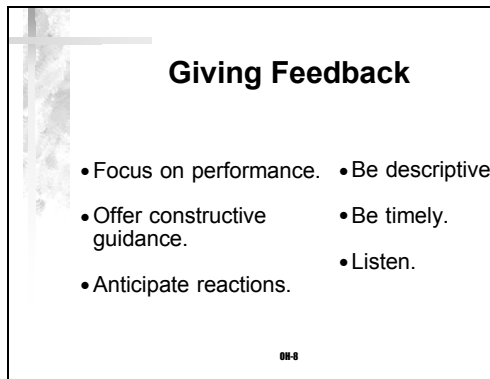
- Make the following key points...
 - ➔ Monitoring performance is an ongoing phase, extending throughout the performance period. Managers should communicate regularly with employees on how well they are performing. This will prevent “surprises” during the appraisal meeting.
 - ➔ Support your employees in their work. Provide them with guidance, information, and resources they need to get the job done.
 - ➔ It is important to document performance, both good and bad, throughout the entire performance period. This information will be necessary to prepare a fair and thorough appraisal.
- Emphasize that managers should give constant feedback to employees on their performance, not only at appraisal time. Acknowledge that they give feedback every day to the people around them, although they may not realize this. For instance, they give feedback to a sales clerk on how well they are serving them, they give feedback to their kids on their behavior, or they let an employee know the impact of an action (such as the impact a report had on a meeting.)
 1. Have participants think about a recent occasion when they gave feedback to someone.
 2. Have participants swap examples with a neighbor.
 3. After 3–4 minutes, ask for a show of hands of how many people gave positive feedback. Then ask how many gave corrective feedback.
 4. Ask the group:



Q. Which is harder to give: positive or corrective feedback?

Q. Why is it harder to give corrective feedback?

- Possible responses include...
 - ❖ No one likes to give bad news
 - ❖ We are afraid of hurting others' feelings
 - ❖ People can react emotionally to being criticized
 - ❖ People can get defensive
- Show OH-8 (or Slide 8), *Giving Feedback*, and explain they can keep corrective feedback from being such a negative experience. Here are some tips:



- Have participants turn to page 5 of their Workbook and read *Tips for Giving Feedback*.
- Ask participants if they have questions or comments about the tips listed.
- Use the flipchart to record other tips participants have shared. Ask:



Q. Are there any other tips you would like to add from your experience?



15 min.

Video Presentation

- Introduce the video by explaining that participants will now look at an example of an appraisal meeting.
- Explain that as they watch the video, they should think about the following:
 1. What does Bill, the manager, do well?
 2. What changes would you make to improve the meeting?



- Show the video.
- Once the video is finished, lead a discussion of the characteristics of an effective appraisal meeting and the manager's role in leading an appraisal meeting.



Q. *What did Bill do well? What did he do to create an effective appraisal session?*

- Possible responses include...
 - ❖ Bill set the stage by asking Jan how she felt about performance reviews.
 - ❖ Bill asked Jan how she thought she was performing before giving his own appraisal. It is easier to recognize your own weaknesses than to listen to someone else give you critical feedback.
 - ❖ Asking Jan for her point of view opened the meeting to two-way dialogue.
 - ❖ Bill offered to write a summary of the meeting to document the discussion and remind both of them of expectations that were set.
 - ❖ Bill documented performance deficiencies and used specific situations as examples.



Q. *What could Bill have done better?*

- Possible responses include...
 - ❖ Bill asked Jan a question, but didn't give her a chance to answer it; he just kept talking (e.g., Bill asked Jan how her commitment was different than that of the people she supervises). He should have given her time to respond and listened to her carefully.

- ❖ Jan was surprised by some of Bill’s comments (e.g., his feelings about the mailing to directors). Bill should have given Jan feedback earlier. There should be no surprises during the appraisal meeting.
- ❖ Bill and Jan only talked about two of her four goals. Bill took them off track by asking about the year ahead. They should have completed the review of all the current year’s goals before moving on, even if things got “touchy.”
- ❖ Bill should have made sure Jan understood *what* she needed to do better and *how* she could do it better by agreeing on an action plan before they ended the meeting.

Instructor Note: If participants bring up the point that Bill started out by lecturing Jan about being a “parent,” explain that not only was his tone incorrect but he crossed the line of appraising performance and started appraising Jan’s personality. Managers should only appraise performance, skills, knowledge, and abilities.

- Summarize the discussion by saying that if done well, appraisal meetings can be a positive experience for both managers and employees. They should focus on performance. They should praise employees for what they do well and show employees *what* they can do better and *how* they can improve.



15 min.

Appraising Performance: Preparing the Employee

- Transition to Phase 3: Appraising Performance, by saying that in order for appraisal meetings to be successful, planning and forethought are required.
- Show OH-9 (or Slide 9), *Phase 3: Appraising Performance*.



Phase 3: Appraising Performance

Step 1: Prepare for the Appraisal Meeting

- Employee
- Manager

Step 2: Conduct the Appraisal Meeting

OH-9



- Make the following key points...
 - ❖ There are two steps in this phase: (1) preparing for the appraisal meeting, and (2) conducting the appraisal meeting.
 - ❖ Two people need to prepare for this meeting: the manager and the employee.



- Show OH-10 (or Slide 10), *Employee Preparation*, and explain the manager's role in preparing the employee for the appraisal meeting.

Employee Preparation

The manager prepares the employee by...

- Setting a time and location for the meeting and notifying the employee
- Asking the employee to assess his/her own performance and be prepared to discuss it
- Giving the employee sufficient time to prepare

OH-10

- Explain that self-assessments are one way employees can prepare for the appraisal meeting.



- Refer participants to the Self-Assessment Worksheet on page 6 of their Workbook. Explain that this is one example of a self-assessment worksheet. If they like, they can give this worksheet to their employees to help them think about their performance.
- Ask for a show of hands as to how many participants are already having their people assess themselves.
- Have one or two volunteers who are having people self-assess tell the group how it worked out and how the organization or its people benefited.



30 min.

Appraising Performance: Preparing Yourself

- Transition to the manager's preparation steps by explaining that the employee is now preparing for the appraisal. Now they will look at what the manager is doing to prepare.



- Show OH-11 (or Slide 11), *Manager Preparation*, and highlight how managers prepare for the appraisal meeting.

Manager Preparation

The manager prepares himself/herself by...

- Gathering information
- Evaluating performance
- Analyzing performance problems
- Documenting the performance

OH-11



- Explain that the first step is to gather information about the employee's performance: his or her productivity, customer service, work quality, etc.

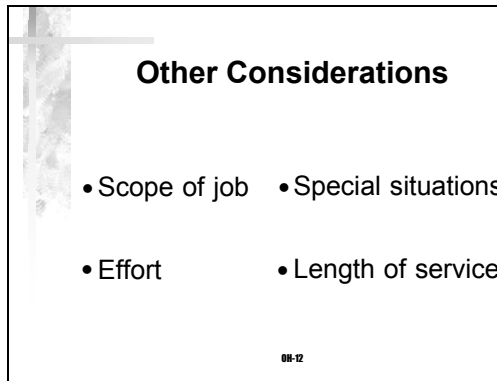
Q. *What sources of information will you use to appraise your employee's performance?*



- Write the participants' responses on the flipchart. Possible responses include...
 - ❖ The employee's performance plan written in Phase 1 of the cycle. This should include goals and standards of performance.
 - ❖ Notes from feedback meetings that occurred throughout the morning phase.
 - ❖ Previous performance appraisals.
 - ❖ Written reports submitted by the employee (i.e., monthly or weekly activity reports).
 - ❖ Copies of correspondence you or the employee received about matters pertaining to his or her job.
 - ❖ Personal notes you've written based on your observations of the employee's achievements, participation on special projects, attendance, etc.
 - ❖ Training courses the employee has taken.
 - ❖ Notes regarding disciplinary action.
 - ❖ Information from project managers or team leaders who have worked with the employee.
- Explain that they will use this information to compare the employee's performance, or results he or she achieved, to the goals and standards set at the beginning of the performance cycle.



- Show OH-12 (or Slide 12), *Other Considerations*, and discuss other considerations that can impact the manager's appraisal of an employee's performance.



- Explain that managers might rate an employee's performance just a bit higher if they faced some of these considerations:
 - **Job Scope:** The employee's job is varied or not clearly defined, or has been changed during the appraisal period. A job that was broad in scope or that involved many others might need additional consideration at appraisal time.
 - **Effort:** The employee is making every effort to be successful.
 - **Special Situations:** There are special obstacles to be overcome.
 - **Length of Service:** An employee who is relatively new or inexperienced is providing the same level of achievement as an experienced employee.



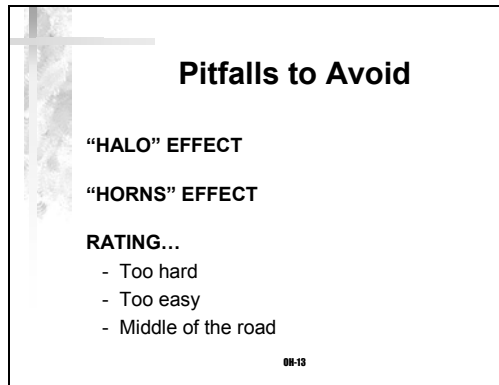
Q. *What other things might you consider when evaluating an employee's performance?*



- Write participants' responses on the flipchart.



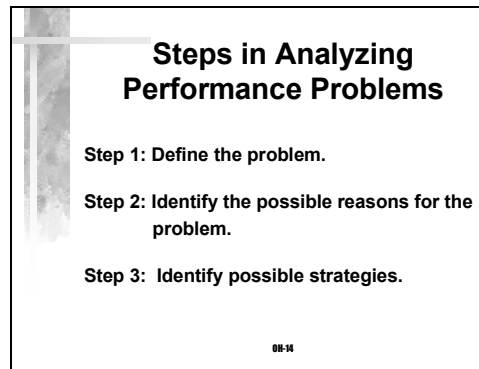
- Show OH-13 (or Slides 13), *Pitfalls to Avoid*, and transition to the discussion of some typical pitfalls managers fall into in preparing appraisals. Explain that pitfalls are factors that mislead us when we are preparing appraisals. Managers need to watch for these factors, as they can influence their judgment (either favorably or unfavorably) of the employee.



- Explain the *halo* and the *horn* effects. Make the following key points...
 - ⇒ The “halo” effect results when a manager overrates an employee by:
 - Failing to see deteriorating performance because of a good past record or a personal friendship.
 - Rewarding those with beliefs or backgrounds similar to the manager’s own.
 - Believing that because performance is outstanding in one area, there are no problems in other areas.
 - ⇒ The “horns” effect results when a manager underrates an employee who:
 - Does not meet the impossibly high standards the manager sets.
 - Achieves results by different methods.
 - Fails at one thing; that this one instance influences the manager’s future evaluations.
 - ⇒ Other pitfalls include:
 - Rating too hard or too easy, compared to other raters.
 - A tendency to choose the middle rating, rather than distinguish between performance levels.
- Transition to the third step in manager preparation: determining root causes of performance problems.
 - During the appraisal, you might find some aspects of performance that do not meet your expectations. It is important to analyze the performance to determine the cause of the performance problem. Then, discuss it with the employee and come to an agreement on how it can be corrected.



- Remind participants that if they see performance problems earlier in the year, they should use this process to analyze the problem and give feedback to the employee then. As discussed in Phase 2: Monitoring Performance, it is important to give feedback as close to the time of the performance as possible.
- Show OH-14 (or Slide 14), *Steps in Analyzing Performance Problems*. Explain the three steps in analyzing performance problems.



- Make the following key points...
 - Problem analysis begins by defining the problem. This step involves reviewing the employee's performance and developing a specific picture of any performance discrepancies. In other words, define how well the employee is doing, versus how well he or she should be doing.
 - Identify the indicators of the performance problem. These are things you would like to change in order to improve performance. Good performance indicators are specific, objective, and measurable. For example, clients are not receiving their product on time, clients are receiving the wrong product or productivity numbers are down 6%.
 - Next, we identify the reasons for the problem. Whether looking at the person or the environment, there are three main areas where deficiencies can cause problems: information, resources, and motivation.



- Show OH-15 and OH-16 (or Slides 15 and 16), *Possible Reasons for Performance Problems*, and review the reasons listed on the matrix.

| Possible Reasons for Performance Problems | | | |
|----------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| | Information | Resources | Motivation |
| E N V I R O N M E N T | 1. Expectations and Feedback Does the employee know what is expected? Has the employee received feedback? | 2. Resources and Tools Does the employee have the necessary resources and tools? | 3. Incentives Are there appropriate incentives for the employee to want to perform well? Are there negative consequences when the employee performs poorly? |
| | <small>OH-15</small> | | |

| Possible Reasons for Performance Problems | | | |
|--------------------------------------------------|-------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------|
| | Information | Resources | Motivation |
| P E R S O N | 4. Skills and Knowledge Does the employee have adequate skills and knowledge to do the job? | 5. Capacity Could the employee learn to do the task if his or her job depended on it? | 6. Motives Does the employee care about the job and the incentives? |
| | <small>OH-16</small> | | |

- Tell the participants...
 1. Each cell of the matrix provides key questions addressing potential reasons for performance problems. A negative answer to any of these questions reveals a potential cause of the problem.
 2. The last step is to identify possible strategies to solve the problem. The most effective solutions will directly relate to the reasons/causes you identified for the problem.
- Refer participants to pages 10 and 11 of the Workbook; review the possible strategies/solutions to problems and show how they match what is listed.
- Introduce the exercise on analyzing performance problems by explaining that participants will now use this model to analyze a performance problem they are having with one of their employees.

- Conduct Exercise 2: Analyzing Performance Problems.
 1. Have participants think about one of their employees who is not performing to expectations.
 2. Refer participants to pages 7–12 of their Workbooks and explain that they should follow the instructions to complete the three steps of analyzing performance problems.
 3. Allow 15 minutes.
 4. Make yourself available to help participants through the process and answer questions.



- Debrief the exercise by asking:



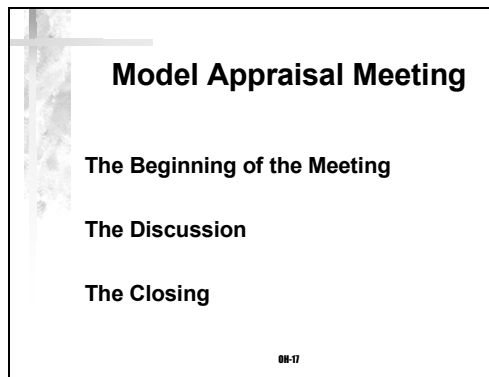
Q. *How helpful was this process in clarifying performance problems and determining some possible solutions?*

- Advise participants that they can continue this analysis when they return to their jobs.



Appraising Performance: Conducting the Meeting

- Transition to the second step of the Appraising Performance phase: Conducting the Appraisal Meeting.
- Show OH-17 (or Slide 17), *Model Appraisal Meeting*, and review the three stages of an appraisal meeting and what is happening in each.



- Make the following key points...
 - ➔ Begin the meeting by welcoming the employee and putting him or her at ease.
 - ➔ Encourage the employee to take part in the discussion. Ask the employee for his or her opinion of his or her performance. Listen without interrupting and ask questions for clarification.

- Give your view of the employee's performance and start out on a positive note. Then, discuss opportunities for performance improvement and growth.
 - Conclude the meeting by summarizing your discussion.
 - Work with the employee to develop a plan for any next steps discussed in the meeting. Next steps might include training programs, actions he or she must take, or resources needed to correct a performance problem.
 - Explain what the appraisal form will be used for and the effect on employee pay, etc.
 - Ask the employee if he or she has any final questions or comments.
 - Thank the employee for his or her input, and set a time to talk about next year's goals and standards.
 - In the weeks or months following the meeting, check back with the employee to see how he or she is progressing with any plan of action you discussed in the meeting.
- Summarize by stating that the most important element of the appraisal meeting is your dialogue with the employee. Even when they prepare well and follow the model agenda, managers can still find themselves in tough situations.
 - Transition to the exercise by telling participants that they will now try their hand at responding to several tough appraisal situations.
 - Conduct Exercise 3: Responding to Difficult Appraisal Situations.
 1. Have participants form small groups of 4 or 5 people each.
 2. Refer participants to page 14 of their Workbooks. Assign each group a scenario to respond to. If time allows, you can have the groups respond to more than one scenario. Circulate and provide support.
 3. After 5 minutes, call the class back together.
 4. Ask each group to read their scenario and talk about how they would respond to it.
 5. Invite others in the class to offer other possible responses to the scenario and explain how they would handle it.



Exercise: Responding to Difficult Appraisal Situations

Instructor's Answer Key:

1. The employee agrees with most of your appraisal but expresses some difference in opinion. Now the employee makes a genuine effort to clarify the issues without being defensive. How do you respond?

Let the employee know that you appreciate his or her involvement and interest in discussing the appraisal. Review the areas where opinions differ, explain your points of view, and provide examples to support your appraisal.

2. You give the employee a “does not meet expectations” rating. He or she does not accept responsibility for his or her poor performance, and blames the company's support systems as well as other employees. How do you respond?

Listen to your employee's point of view without interrupting. Keep an open mind and note any valid areas the employee brings up. Discuss what actions the employee can take to improve the situation. Praise the employee when you see him or her move toward accepting responsibility.

3. The employee disagrees with certain pieces of the appraisal and provides specific examples that contradict your findings. How do you respond?

Listen to what the employee has to say. Tell him or her you will look at the facts again. Explain that you will modify your position if the employee's information is valid. If you find, after examining the facts, that the employee's information is not valid, hold firm to your appraisal, giving sound rationale.

4. During the appraisal meeting, the employee says very little, even when you specifically ask for comments. How do you respond?

Try to understand why an employee is reluctant to talk (intimidated, not wanting to talk about weaknesses, etc.). Encourage him or her to talk by asking open-ended questions. Ask the employee to summarize his or her performance. Thank the employee for any input he or she offers, and explain the importance of his or her point of view in the entire performance management process.

5. The employee is a consistent high performer. In fact, you have given this employee an overall rating of “exceeds expectations” five years in a row. The employee does not want to be promoted and is at the top of the pay scale. How do you continue to motivate this employee?

Each person is motivated by different things. You must figure out what motivates this person. Possible factors are public praise, leadership on committees, money, office location, etc. You must find out what motivates this employee, and figure out how to match incentives to his or her needs.



60
min.

Practice Session

- Introduce the practice session as an opportunity to apply what has been learned.
- Explain the following:
 - You will be completing the two steps of appraising performance: (1) preparing for the appraisal, and (2) conducting the appraisal meeting.
 - First, think about one of your employees, perhaps the one you used for the “analyzing performance problems” exercise.
 - You will complete the planning worksheets found in your Workbook and then practice conducting the appraisal meeting with a partner. A third classmate will act as an observer. Everyone will have a chance to play all three roles.
- Conduct Exercise 4: Appraising Performance—Preparing the Appraisal.



1. Refer participants to pages 15–17 of the Workbook and review the two manager worksheets and the observer worksheet.
 - Manager Worksheet #1 asks for background information about the performer. This is important for two reasons. First, it is helpful for managers to think about the employee when they appraise the performance; second, it will be background information, to help the person playing the employee role respond realistically in the role play.
 - Manager Worksheet #2 will help them prepare for the role play. This worksheet can be used back on the job to help them prepare for any employee’s appraisal.
 - The Observers Worksheet will be used by the participants when they observe the other two participants in their group role play the appraisal meeting.
2. Instruct participants to complete Manager’s Worksheets #1 and #2. Have them complete these worksheets individually.
3. Allow 15 minutes for this preparation.



Lesson Plan


- Conduct Exercise 5: Appraising Performance—Conducting the Appraisal Meeting.
 1. Have participants form triads. Tell them to decide among themselves who will play the manager, who will play the employee, and who will observe. Remind them they will have the chance to play all three roles.
 2. Tell participants they will have only 10 minutes for the role play. Acknowledge that this is not enough time to conduct a true appraisal meeting, but they should do as much as they can.
 3. Tell participants playing the role of the manager to use their planning worksheets to role play the appraisal meeting. Remind them to follow the steps in the model appraisal meeting found on page 13 of the Workbook and use techniques to draw the employee into the discussion.
 4. Tell participants playing the employee to read the background information the manager wrote for the situation. Encourage them to act as much like that employee as possible so the manager will have real experience in fielding this employee's responses.
 5. Tell the observers to assess how well the manager conducted the appraisal meeting, using the Observer Worksheet on page 17 of the Workbook.
 6. Allow 10 minutes for the role play.
 7. Allow 3–4 minutes for the triad to discuss the role play. Refer participants to the discussion questions on page 18 of the Workbook.
 8. Have participants change roles and complete the role play again. Allow 10 minutes for the role play and 3–4 minutes for the post-discussion. Repeat this a third time until all participants play each role once.
- Debrief the exercise.



- Q.** *What worked well for you during this role play?*
- Q.** *What would you do differently next time?*
- Q.** *How helpful was the background information sheet to you (as a manager preparing for the appraisal)?*



Summary/Action Plan

- Briefly summarize the workshop.
 - Explain the next step: *Action Planning*.
 1. Action planning is a tool to help you transfer what you have learned today into concrete things you will do to apply those skills back on the job.
 2. In the action plan, you will identify what you plan to do or accomplish, by when, and how.
 3. The activities you list might be generic and ongoing (e.g., prepare daily “to do” lists) or specific and occasional (e.g., meet with each employee to hear his or her concerns about the reorganization).
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- Have participants turn to the Action Plan on page 19 of the Workbook. Have them fill out their plans. If necessary, you can do some large or small group “brainstorming” to help participants get started.
 1. Refer participants to page 20 of the Workbook for resources for further study.
 - Have participants share a few of their ideas. You might want to suggest that participants commit to following up with one another several weeks after the course to see how the action plans have been carried out.
 - Ask participants to take a minute to give their feedback about the workshop by completing a Workshop Evaluation Form.
 1. Distribute the forms and collect them before participants leave.
 - Thank participants for attending, and adjourn.