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| Approved:  |          | 15 October 2004 |
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## 1.0 POLICY/PURPOSE

Santa Barbara Applied Research, Inc. (SBAR) conducts fair and objective performance appraisals and conducts training assessments on each of its regular full-time and part-time employees. Performance appraisals are normally done at least once a year to document the employee's progress in meeting SBAR expectations of his or her major assignments. Training assessments are done to ensure that personnel stay qualified in performing the assigned work that affects product quality. The purpose of this procedure is to give guidance and direction for the preparation of employee performance appraisals and training assessment forms.

## 2.0 SCOPE

This procedure applies to all regular full-time and part-time SBAR personnel.

## 3.0 REFERENCES AND DEFINITIONS

### 3.1 References

*ISO 9001: Quality Management Systems-Requirements, Third Edition (2000-12-15)*

- ISO 9001 Element 6.2.2 (Competence, Awareness, and Training)
- ISO 9001 Element 8.2.1 (Customer Satisfaction)

[SBAR Quality Manual \(QAP 2000\)](#)

[SBAR Training Procedure \(CP-00-9018\)](#)

[SBAR Training Plan Preparation Procedure \(CP-00-9018-01\)](#)

[SBAR Organization Manual](#)

[SBAR Standard Position Descriptions](#)

### 3.2 Definitions

**On-the-Job Training (OJT):** Instruction that is given at an employee's work location during normal work hours that is designed to improve an employee's ability to perform a specific task or group of tasks. Instruction is "hands-on," with the employee performing the actual task or job he or she is being trained for, and includes supervision by an experienced employee.

**Organizational Charter:** A document contained within the SBAR *Organization Manual* that identifies the mission of an organizational element, the duties, and defines the authority of that organizational element. Organizational Charters are normally reserved for managers and senior supervisory personnel.



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**Performance Appraisal Form (Form CP-00-2000-02-X):** A record prepared at least annually on each employee that evaluates the employee's past performance and identifies areas needing improvement. There are two categories (forms) of *Performance Appraisals*:

[\*Managers and Supervisory Staff \(Form CP-00-2000-02-A\)\*](#)

[\*Technical and Administrative Staff \(Form CP-00-2000-02-B\)\*](#)

See paragraphs 5.2 and 5.3, respectively.

(NOTE: Appraisals are not prepared for the SBAR President/CEO, Executive Vice President, and Director, Corporate Programs.)

**Performance Feedback:** Performance feedback is letting employees know what SBAR and their supervisor expect of them and how well they are meeting those expectations. (NOTE: Feedback is the single most important means for changing behavior and is most effective when delivered honestly in a constructive attempt to improve performance.) See paragraph 5.5 Performance Feedback, for how to conduct feedback.

**Performance Standards:** For each appraisal, there are four Performance Standards that are used to evaluate an employee's performance during the appraisal period. Those Standards are:

**Does Not Meet:** Employee has failed to adequately perform his or her duties and responsibilities as required by company policies and procedures, generally accepted industry standards, generally accepted legal and ethical standards, acceptable customer expectations, contractual requirements, etc. (NOTE: Normally, the employee's manager/supervisor will have already documented this failure and discussed it with the employee.)

**Meets:** In a professional and competent manner, the employee has performed his or her duties and responsibilities as required by company policies and procedures, generally accepted industry standards, generally accepted legal and ethical standards, acceptable customer expectations, contractual requirements, etc. (NOTE: Most employees will fall within this Standard.)

**Exceeds:** At a level that surpasses SBAR's expectations, the employee has performed his or her duties and responsibilities as required by company policies and procedures, generally accepted industry standards, generally accepted legal and ethical standards, acceptable customer expectations, contractual requirements, etc. (NOTE: An employee in this category has normally been recognized by his or her peers, supervisors, customers and/or agencies outside of SBAR, as someone whose performance can be categorized as excellent.)

**Consistently Exceeds:** At a level that routinely surpasses his or her peers and which is consistently beyond normal SBAR expectations, the employee has performed assigned duties and responsibilities as required by company policies and procedures, generally accepted industry standards, generally accepted legal and ethical standards, acceptable



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customer expectations, contractual requirements, etc. (NOTE: An employee in this category is clearly a top performer who should be considered for advancement.)

(NOTE: Performance Standard criteria are also the criteria used in the Summary Rating section of the appraisal.)

**Position Description:** A document defining the generic duties and responsibilities for a specific trade (e.g., electrician, data entry clerk) or skill.

**Self Appraisal Form (Form CP-00-2000-02-C):** A record, at the option of the employee, prepared by the employee in conjunction with the annual *Performance Appraisal Form*. The purpose of the form is to allow the employee to evaluate their performance and to identify their accomplishments to their respective supervisor, who uses this form to prepare the employee's *Performance Appraisal Form*. This form, if submitted, is attached to the *Performance Appraisal Form*. See paragraph 5.4

**Training Assessment Form (Form CP-00-9018-A):** A record prepared at least annually on each employee that identifies any additional skills needed to assist the employee in maintaining or improving the quality of his or her work. This form is used for all SBAR employees. See paragraph 5.6.

**Training Assessment Form Criteria:** For each training assessment, there are four criteria used for determining the need for specific training. Those criteria are:

**Mission Critical:** Essential for the successful completion of a contractual requirement or is so designated by the SBAR President/Executive Vice President. Normally, the customer will pay for this training.

**Management Development:** Training that cannot normally be billed to a customer and involves improving the management skills of an employee. This type of training normally needs to take place within six months of identification of the need for such training.

**Long Term Need:** Training that cannot normally be billed to a customer and is needed for future contracts or business opportunities.

**Desirable:** Training that fits none of the above criteria and which will normally be paid for by SBAR or the employee.

## 4.0 RESPONSIBILITIES

### 4.1 Human Resource Manager

The Human Resource Manager is responsible for this procedure and for ensuring it is fully implemented.



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#### **4.2 Executive Vice President**

The Executive Vice President is authorized to make changes to the Performance Appraisal and Training Assessment Forms as necessary to suit the changing business climate (e.g., Collective Bargain Agreements).

#### **4.3 Program Managers**

Program managers are authorized to direct the preparation of a performance appraisal and/or training assessment at any time during the year in addition to an employee's regularly scheduled appraisal for reasons such as:

- An employee's performance has significantly declined.
- New work/projects require that the employee receive additional training.
- An employee is being considered for a more responsible position.

#### **4.4 Immediate Managers**

Immediate managers who supervise employees are required to:

- Upon initial assignment, ensure the new employee understands his or her duties, responsibilities, and performance expectations by reviewing the employee's corresponding Organizational Charter or position description.
- Make a fair, honest, and objective evaluation of the employee's performance and value to the organization.
- Identify the employee's strengths and accomplishments.
- Identify any areas of job performance requiring improvement.
- Provide honest and constructive feedback throughout the appraisal period to assist employees in improving performance as necessary.
- Identify any additional training required to improve job performance.
- Encourage employees to complete a *Self Appraisal Form (CP-00-2000-02-C)* to be used by the manager to prepare the employee's *Performance Appraisal Form*.

Immediate managers will discuss the performance appraisal, self appraisal (if submitted), and training assessment with their employee only after approval by the approving manager. The employee is required to sign the appraisal and training assessment forms.

#### **4.5 Approving Managers**

Approving Managers review all appraisals and training assessments prior to employee review.



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## 5.0 REQUIREMENTS/PROCEDURES

### 5.1 General

Unless otherwise directed by the SBAR Executive Vice President, performance appraisals are to be completed on each regular full-time and regular part-time employee at least annually on a schedule decided upon by the cognizant Program Manager. Training assessments, based on an employee's most recent performance appraisal and/or emerging training requirements, are submitted to the Training Coordinator no later than 30 September each year.

### 5.2 Managers and Supervisory Staff Form (Form CP-00-2000-02-A)

This form is normally prepared for functional area managers, program managers, contracts managers, office managers, technical services managers, support services managers, operations and maintenance managers, engineering managers, quality managers, and other key management personnel who are considered part of the SBAR management team and for whom an Organizational Charter exists.

**5.2.1** The Employee Name, Office/Contract, Location, Appraisal Period (e.g., 10/1/03-09/30/04), Employee Number, and Department are self-explanatory. If the employee has submitted a *Self Appraisal Form*, check the "Yes" block and attach the form to the *Performance Appraisal Form*.

**5.2.2** The "Major Assignments" section should mirror the employee's Organizational Charter or, in the case of a supervisor, the position description. (**NOTE:** If it doesn't, coordinate a change to the Charter or position description, or consider changing the employee's job title as appropriate.)

**5.2.3** The "Interpersonal Skills" section records how well someone is able to communicate requirements and concerns to employees, their peers, and customers. Factors to consider are the employee's:

- Ability to understand the customer's requirements as well as the customer's perception of how SBAR is meeting those requirements.
- Ability to communicate SBAR's viewpoint to the customer, i.e., will the customer understand and consider what the employee is trying to convey?
- Ability to promote harmony and teamwork within the organization.

**5.2.4** Effective verbal and written communication skills are a key indicator as to the success of any manager or supervisor. If a manager or supervisor does not possess these skills, it is essential to identify this shortcoming to enable the employee to improve their skill level. (**NOTE:** Some supervisory personnel may not be required to write. If this is the case, then so indicate in the "Comments" block.)

**5.2.5** Factors to consider in the "Planning, Organizing and Controlling Work" section are:



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- Is work methodically planned and organized following established industry, customer, SBAR, etc. requirements?
- Does the employee establish realistic due dates to complete project planning and organizing?
- Does the employee periodically follow-up to ensure projects are properly planned and due dates are being met?
- When necessary, does the employee take appropriate corrective action when the planning function suffers? Appropriate action may be readjusting the workload, revising due dates, using more resources, disciplinary steps, etc.
- Are the proper resources (e.g., human, equipment, materials) identified and are they readily available at a reasonable cost?
- When appropriate, are the customer and/or other interested parties (e.g., other SBAR offices/personnel, subcontractors) consulted during planning and organizing?
- Are established schedules coordinated with the customer and/or other interested parties?
- Are sufficient control mechanisms (e.g., cost, schedule) designed to ensure the project is completed as planned?
- Does the manager/supervisor, from time-to-time, verify the control mechanisms are properly functioning?
- Does the manager/supervisor ensure the customer and interested parties are promptly apprised of the status of projects, as appropriate.

**5.2.6** In the “Quality of Work” section, evaluate managers/supervisors on their ability to deliver products and services to the customer that are of high quality. “High quality” means products and services that fully comply with customer, regulatory, general industry practices, and SBAR quality requirements. Further, “high quality” includes meeting or exceeding customer expectations.

**5.2.7** Some of the factors to consider when rating a manager’s/supervisor’s “Job Knowledge” are:

- Does the employee understand his/her duties and responsibilities as defined in his or her Organizational Charter or position description?
- Does the manager/supervisor understand what is expected of him or her and are those expectations being met?
- Does the manager/supervisor possess the basic knowledge necessary to successfully fill his or her position? (**NOTE:** Knowledge is developed from a combination of formal education, prior work experience, continuing education, on-the-job training, etc.)



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- Does the manager/supervisor have sufficient knowledge of the duties and responsibilities of those under their supervision to effectively lead and supervise them?

**5.2.8** Under the “Leadership / Teambuilding” section, consideration should be given to how well the manager/supervisor:

- Assumes a leadership role and clearly defines the scope of work to all involved and explains what is expected of them.
- Projects self-confidence, authority, and enthusiasm.
- Demonstrates natural leadership ability and motivates others.
- Inspires the confidence and respect of others.
- Stresses and develops cooperation and teamwork among subordinates, co-workers and customers.
- Sets the example of a team player.

**5.2.9** The “Major Accomplishments” section is only completed on those employees who have had a previous appraisal. The purpose of this section is to document the employee’s progress in improving in the areas listed in the “Summary” section, “Define specific objectives required that would form the basis for the next appraisal” block of the previous appraisal.


**5.2.10** The “Summary of employee strengths as they relate to the responsibilities of the present assignment” relates only to those strengths that are relevant to the current position. For example, “ability to lead and supervise all employees within his/her department.”

**5.2.11** The “Summary of areas needing improvement” section is probably the most difficult section to complete on any appraisal. For many employees and for SBAR, it is the most important section and requires complete integrity on the part of the immediate manager completing the appraisal. Additionally, this block is key in providing feedback to the employee in accordance with the guidelines in Paragraph 5.5, Performance Feedback. Finally, this section mirrors comments that were made in previous sections of the appraisal.

**5.2.12** The “Define specific objectives required that would form the basis for the next appraisal” section must coincide with what is stated in the “Composite of areas needing improvement” section. It must contain **specific** objectives and these objectives must be achievable. Examples of acceptable and unacceptable objectives are:

| <b>Unacceptable</b>                                      | <b>Acceptable</b>   |
|--|---|
| Mr. Smith needs to supervise his employees more closely. | Mr. Smith needs to hold weekly staff meetings with his employees, establish project due dates, and ensure his employees meet those due dates. |
| Ms. Jones needs to improve her job knowledge.            | Ms. Jones needs to attend a college level course on software design.  |
| Mr. Smith needs to work more closely with the customer.  | Mr. Smith needs to contact the customer and arrange monthly meetings with the customer to   |



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| <b><u>Unacceptable</u></b> | <b><u>Acceptable</u></b>                           |
|                            | ensure he understands the customer's expectations. |

**5.2.13** The “Additional comments (Optional)” block is self-explanatory.

**5.2.14** The “Employee’s comments (Optional)” section is optional for the employee. If the employee does not choose to complete this section, the block states “Employee declined to make written comments,” or similar words. However, whether the employee makes written comments or not, the immediate manager should record any verbal comments of the employee as the result of the appraisal.

**5.2.15** The “Summary Rating” is the immediate manager’s overall evaluation of the employee and uses the Performance Standards criteria. Before the employee signs the form, the immediate manager must ensure that the employee has received constructive feedback on his or her performance and that any necessary improvement areas have been discussed. See paragraph 5.5, Performance Feedback.

**5.2.16** The employee, immediate manager, and approving manager are required to sign and date the form. Once completed, copies of the form and the *Self Appraisal Form* (if submitted) are given to the employee and the original(s) is maintained in the employee’s personnel folder. The Training Assessment Form is completed in accordance with paragraph 5.6, *SBAR Training Assessment Form (Form CP-9018-A)*. (**NOTE:** Whenever possible, training assessments are completed in conjunction with performance appraisals.)

### **5.3 Technical and Administrative Staff (Form CP-00-2000-02-B)**

This form is prepared for all technical and administrative personnel who are **not** considered part of the SBAR management team. Examples of personnel who fall into this category are quality/safety/environmental specialists, engineering technicians, installers, drafters, administrative assistants, staff engineers, software developers, and non-managerial accounting/financial staff members.

**5.3.1** The Employee Name, Office/Contract, Location, Appraisal Period (e.g., 10/1/03-9/30/04), Employee Number, and Department are self-explanatory. If the employee has submitted a *Self Appraisal Form*, check the “Yes” block and attach the form to the *Performance Appraisal Form*.

**5.3.2** The “Major Assignments” section should mirror the employee’s position description. (**NOTE:** If it doesn’t, coordinate a change to the position description with Human Resources, or consider changing the employee’s job title, as appropriate.)

**5.3.3** The “Interpersonal Skills” section records how well someone is able to communicate requirements and concerns to employees, their peers, and customers. Factors to consider are the employee’s:

- Ability to understand the customer’s requirements as well as the customer’s perception of how SBAR is meeting those requirements.





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- Ability to communicate SBAR's viewpoint to the customer, i.e., will the customer understand and consider what the employee is trying to convey?
- Promotes harmony and teamwork within the organization.

**5.3.4** Effective verbal and written (when required) communication skills are a key indicator as to the success of any employee. If an employee does not possess these skills, it is essential to identify this shortcoming to enable the employee to improve their skill level. (**NOTE:** Not all technical and administrative staff employees are required to be able to write clearly. The employee's position description identifies those employees who are expected to effectively communicate in writing.)

**5.3.5** In the "Productivity" section, consider the:

- Use of time.
- Volume of work accomplished.
- Ability to meet schedules under normal conditions.

**5.3.6** In the "Quality of Work" section, evaluate employees on their ability to deliver products and services to the customer that are of high quality. "High quality" means products and services that fully comply with customer, regulatory, general industry practices, and SBAR quality requirements. Further, "high quality" includes meeting or exceeding customer expectations.

**5.3.7** Some of the factors to consider when rating a technical or administrative staff member's "Job Knowledge" are:

- Does the employee understand his or her duties and responsibilities as defined in their position description?
- Does the employee understand what is expected of him or her and are those expectations being met?
- Does the employee possess the basic knowledge necessary to successfully fill his or her position? (**NOTE:** Knowledge is developed from a combination of formal education, prior work experience, and continuing education, on-the-job training, etc.)

**5.3.8** In the "Cooperation and Teamwork" section, consider:

- Cooperation with supervisor and co-workers.
- Enthusiasm to work towards a common objective.
- Ability to work as a team member and to inspire teamwork in co-workers.

**5.3.9** The "Major Accomplishments" section is only completed on those employees who have had a previous appraisal. The purpose of this section is to document the employee's progress in improving in the areas listed in the "Summary" section, "Define specific objectives required that would form the basis for the next appraisal" block of the previous appraisal.



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**5.3.10** The “Summary of employee strengths as they relate to the responsibilities of the present assignment” relates only to those strengths that are relevant to the current position. For example, “knowledge of the myriad environmental regulatory requirements.”

**5.3.11** The “Summary of areas needing improvement” section is probably the most difficult section to complete on any appraisal. For many employees and for SBAR, it is the most important section and requires complete integrity on the part of the manager completing the appraisal. Additionally, this block is key in providing feedback to the employee in accordance with the guidelines in Paragraph 5.5 Performance Feedback. Finally, this section mirrors comments that were made in previous sections of the appraisal.

**5.3.12** The “Define specific objectives required that would form the basis for the next appraisal” section must coincide with what is stated in the “Composite of areas needing improvement” section. It must contain **specific** objectives, and these objectives must be achievable. Examples of acceptable and unacceptable objectives are:

| <u>Unacceptable</u>                                     | <u>Acceptable</u>   |
|---|---|
| Mr. Smith needs to improve his work habits.             | Mr. Smith needs to arrive at work on time and complete the tasks he has been assigned within the agreed upon time period. |
| Ms. Jones needs to improve her job knowledge.           | Ms. Jones needs to attend an MS Projects class offered at Allan Hancock College.  |
| Mr. Smith needs to work more closely with the customer. | Mr. Smith needs to promptly inform the customer when he has completed tasking for the customer.                           |


**5.3.13** The “Additional comments (Optional)” block is self-explanatory.

**5.3.14** The “Employee’s comments (Optional)” section is optional for the employee. If the employee does not choose to complete this section, the block states “Employee declined to make written comments,” or similar words. However, whether the employee makes written comments or not, the immediate manager should record any verbal comments of the employee as the result of the appraisal.

**5.3.15** The “Summary Rating” is the immediate manager’s overall evaluation of the employee and uses the Performance Standards criteria. Before the employee signs the form, the immediate manager must ensure that the employee has received constructive feedback on his or her performance and that any necessary improvement areas have been discussed. See paragraph 5.4, Performance Feedback 5.4.

**5.2.17** The employee, immediate manager, and approving manager are required to sign and date the form. Once completed, copies of the form and the *Self Appraisal Form* (if submitted) are given to the employee and the original(s) is maintained in the employee’s personnel folder. The Training Assessment Form is completed in accordance with paragraph 5.6, *SBAR Training Assessment Form (Form CP-9018-A)*. (**NOTE:** Whenever possible, training assessments are completed in conjunction with performance appraisals.)



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#### **5.4 Self Appraisal Form (Form CP-00-2000-02-A)**

Employees are encouraged to complete this form and submit it to their supervisor in time to allow their supervisor to complete the employee's *Performance Appraisal Form*. The form may be typed or printed. The instructions for completing the form are in the following paragraphs.

**5.4.1** The Employee Name, Office/Contract, Location, , Employee Number, Department, and Appraisal Period (e.g., 10/1/03-9/30/04) are self-explanatory.

**5.4.2** The "Current Job Functions/Primary Responsibilities" lists the duties of the employee.

**5.4.3** In the "Significant Accomplishments/Problems During This Period," objectivity is essential. In this block, the employee lists his or her perceptions of their major achievements during the appraisal period. Examples are:

- "Completed the Bldg 510 HVAC renovation project two weeks early."
- "Redesigned the contract's financial reporting program and received praises from the customer."
- "On short notice, completed the *USS McClusky* shipboard installation project."

As for "Problems During This Period," the employee has the option of listing their perception of adverse situations that either affect their performance and/or SBAR's performance. Again, objectivity is essential. (**NOTE:** This is not the place to list personal attacks against other employees and/or customers as there are other avenues to address those concerns.)

**5.4.4** In the next block, "Personal Business/Work Related Objectives for Next Review Period," the employee defines any goals they want to set for themselves to achieve during the following evaluation period. These objective should be reasonable and obtainable.

**5.4.5** The "Overall Self-Evaluation of Your Performance" is self-explanatory. Check the appropriate block.

**5.4.6** Finally, the employee signs and dates the form and forwards it to the supervisor who also signs and dates the form. The form is then attached to the employee's *Performance Appraisal Form*.

#### **5.5 Performance Feedback**

##### **5.5.1 What Is Feedback?**

Feedback is letting employees know what you expect and how they are performing on the job. Experts agree that feedback is the single most important means for changing behavior. Typically, feedback lets a person know where they stand in relation to some goal or standard, and is most effective when delivered openly and honestly in a constructive attempt to improve performance. Feedback as a process can range from immediate "pats on the back" for a job well done to a more formal, planned session -- the focus of this section.

##### **5.5.2 How Does Feedback Work?**



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It serves both as a source of information and motivation. As a source of information, feedback provides information about the outcomes of behavior. Given a specific goal, or standard, a person with feedback has a direction for improvement. Without feedback, the person has no way of knowing if his or her performance is adequate or what he or she needs to do to improve it.

Feedback is far more effective if it is specific, delivered frequently, and presented in a timely fashion. In general, the more information a person has (that is, the more precise and frequent the feedback), the better able he or she will be to modify his or her behavior in accordance with expectations. Above all, feedback must be understood. As a source of motivation, people who know how they are doing try harder and persist longer at tasks than people who do not. In contrast, people who receive little or no feedback lack the information they need to evaluate their performance.

### **5.5.3 How Is Feedback Used To Improve An Employee's Performance?**

**Explain The Job Requirements.** Tell employees what their duties and responsibilities are when they first report for work. Ensure each of them understands the SBAR mission and just exactly what their department is responsible for. Describe their duties in terms of the department's responsibilities. If their duties or responsibilities change during their assignment to the department, advise them of these changes as soon as possible.

**Establish Performance Expectations.** Tell how you will evaluate performance, what you will look for, and how you will measure performance. To give meaningful feedback, focus on duty performance and other dimensions, such as customer satisfaction, which contribute to an employee's outstanding performance.

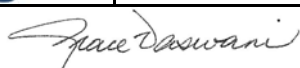
**Tell Your Employees If They Are Performing As Expected.** Compliment your employees on a job well done and offer constructive criticism on areas where improvement is needed. Above all, be open and honest.

### **What Is The Feedback Session?**

There are at least two formal feedback sessions in addition to the informal feedback that a supervisor gives a subordinate throughout the year and/or a specific evaluation period. The first formal feedback session is when the new employee begins work and the supervisor explains job requirements and the expectations the supervisor has for the employee. This is normally part of employee in processing to SBAR. The second session is given at the time the employee's appraisal is completed and affords the supervisor/immediate manager the opportunity to explain how the employee has performed during the evaluation period (usually one year) and the supervisor's expectations for the forthcoming evaluation period.

### **How Do I Prepare To Hold A Feedback Session?**

**Schedule the Time and Place.** The supervisor/immediate manager needs to schedule the feedback session at a time and place where there will be no outside distractions. Phone calls should be routed to an answering machine and pagers and cell phones need to be turned off.

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Identify Job-Specific Behaviors. Performance feedback focuses on observable, job-specific behavior. The supervisor has to describe what is actually seen or heard. For example, the phrase "Mr. Smith has been late to work three times this week," describes a behavior. An observer can see whether someone is or is not at work on time. "Mr. Smith wants to sleep late," is an inference, rather than a behavioral description. An observer cannot "see" whether someone wants to sleep late. Defining performance in terms of observable behavior is important for the following reasons:

- To enhance the objectivity of the feedback.
- To keep feedback specific rather than general.
- To clarify what's being discussed.
- To increase the employee's ability to improve their performance.

Objectivity is enhanced when we do not assume that the behavior implies any particular feelings or attitudes of the person we observe. For example, we should not assume that a person is lazy when he or she does not come to work on time. There may be other reasons for the behavior. If we do a good job of describing the behavior, the employee should know exactly what he or she has to do to improve.

Collect Information. Information on an employee's job performance and achievements is available through a variety of sources. Primary sources include personal observation and input from the employee. Observation is best if it is done:

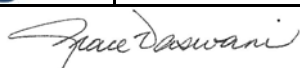
Systematically. Supervisors need not follow a specific plan or outline, but it is helpful to routinely make notes on the employees' performance and to collect examples of their work. Work examples, in particular, lend strong support to feedback and appraisals.

Repeatedly. Collect information over time and under a wide range of circumstances. The more performance samples are reviewed, the clearer the picture of the employees' performance.

Fairly. All employees are strong in some areas and less strong in others. Making repeated observations, without bias or prejudice, reveals areas of strength as well as areas for potential growth.

Employee Participation. Employees may also provide information, which supplements the supervisor's observations. This is not to suggest that the employee prepare his or her own appraisal. However, the employee is in an excellent position to know how he or she contributed to the SBAR mission. This sense of participation is key to understanding and accepting a rating as well as fundamental to sustaining high morale.

#### **5.5.4 What Are Sources Of Supervisor Errors in Performing Appraisals/Feedback?**

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Most supervisors can make fairly valid ratings of outstanding or very poor performance. Behaviors reflecting these extremes are more likely to be observed and correctly identified. However, when observing performance in the middle or average range, distinctions made among people tend to be less accurate and useful.

**Rating Performance As Outstanding When It Isn't.** For several reasons, the middle range is where most ratings should fall. One reason they do not is because a supervisor is reluctant to cause pain by giving lower ratings to average performers. If supervisors know their employees will see the ratings, or they will have to present them with the ratings in a feedback session, they tend to be more lenient. This is human nature, but it does not lead to valid appraisals or feedback. There is also a problem in applying personal standards in judgment where "nice guy" supervisors give consistently high ratings while "tough guys" rate consistently low.

**General Impressions.** Another common source of rating error is the "halo effect," whereby people who are generally well liked receive favorable ratings on all categories. Bad chemistry between an employee and supervisor can have the opposite effect and produce unfairly low ratings. In both cases, ratings end up based on general impressions of the employee as a person rather than on specific aspects of performance.

**Limited Observations And Poor Recall.** Requiring appraisals to be based solely on aspects of job performance presents the supervisor with an extremely difficult task. He or she must observe the behaviors, evaluate them in terms of their relevance for successful job performance, and accurately recall them for subsequent feedback sessions and formal evaluations.


Eyewitnesses make mistakes recalling details of events that happened only a few hours before. Imagine how difficult it is for a supervisor to evaluate the work of many employees over a period of a year! Like witnesses at a busy intersection, supervisors often must base their judgments on only partial evidence. Appraisal errors that may occur as a result of limited observations or poor recall include the following:

Supervisors attend specifically to behavior that confirms a stereotype they have developed and ignore or forget behavior that conflicts with it. Serious efforts to improve on past performance by employees are overlooked. If supervisors cannot recall any specific information relevant to a category on a rating form, they subconsciously invent examples of "appropriate" behavior based on their personal assumptions or stereotypes. Supervisors judge employees on their most recent experiences, rather than performance during the entire period (What have you done for me lately?).

**How Are These Errors Avoided?** The examples of supervisor error noted above can happen regardless of the type of rating form used. Supervisors may avoid these errors by learning and practicing skills which make them better observers: gathering and reporting supporting evidence; discriminating between relevant and irrelevant information; doing selective work sampling when direct observation is infrequent; and deciding which aspects of performance are really measurable. Only after the supervisor has observed the employee's behavior, duty performance, and achievements is he or she in a position to complete the appraisal form.





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Obviously, obtaining as much meaningful information as possible about the employee's performance, prior to this step, is to the supervisor's advantage.

#### **5.6 Training Assessment Form (Form CP00-9018-A)**

*Training Assessment Forms (Form CP00-9018-A)* are completed at least yearly and, whenever possible, in conjunction with employee appraisals. Training assessments must correspond with weaknesses identified in the appraisal and depending upon the circumstances, the employee may be required to fund training that is not available on the job. For example, if an employee does not possess the normal skills expected of someone in their profession, SBAR will identify those training requirements and may ask the employee to fund training to bring him or herself up to an acceptable level of competency.


The *Training Assessment Form* is self-explanatory and includes the following types of training:

- On-the-job training.
- Training provided by an outside vendor.
- Training provided by a union such as an apprenticeship.
- College level courses.
- Training provided by a customer.

When listing training, be specific. A comment such as "Ms. Jones needs training to improve her knowledge of safety regulations" is inadequate. Instead, "Ms. Jones needs to attend OSHA #510: OSHA Standards for the Construction Industry to improve her knowledge of construction safety standards" is appropriate and identifies specific training the employee requires.

Finally, completed Training Assessment forms are submitted to the appropriate Department Training Coordinator no later than 30 September each year.



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