

# Review of Performance Appraisal Form Practices

**July 2010**

**Conducted by ERC**

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## **Overview**

In June of 2010, ERC conducted a survey on organizations in Northeast Ohio to explore performance management practices among Northeast Ohio employers. As part of this survey, ERC requested that organizations submit a sample performance appraisal form that is used with the majority of its workforce. The forms submitted by employers were compiled and analyzed, and trends in performance appraisal forms across organizations are summarized in this report. In addition, each organization's form is summarized within the report.

## **Key findings in the study**

- Organizations most commonly evaluate employees on teamwork, productivity, job knowledge, and communication.
- Four or five-point rating scales are the most common scales used to rate performance.
- Most organizations assess goal progress and/or set goals as part of the performance appraisal process.
- The majority of organizations assess development and training as part of the performance appraisal process.
- Most organizations require employee and supervisor signatures on the appraisal form.

## **Summary of Performance Appraisal Form Trends**

### **Performance Criteria**

Organizations use a variety of performance criteria to evaluate employees in the appraisal process. There are, however, many commonalities across organizations in terms of what is evaluated. The most commonly evaluated behavior is working with others or teamwork. Other common behaviors and competencies that are assessed are productivity, quality of work, job knowledge, and communication.

### **Rating Scales**

Employers tend to use a variety of rating scales on performance evaluation forms. The majority of organizations tend to use either a 5-point or 4-point scale, though many also use a 3-point scale. Few organizations use a rating scale with 6 or more points. The wording of the scales tends to differ somewhat among organizations. Most organizations tend to word their scales in terms of meeting requirements or expectations. Sometimes, the evaluation scale is customized based on the factor on which an employee is being assessed.

### **Goal Setting**

The majority of organizations explicitly include goal setting and goal assessment on their performance evaluation form. When including goal setting on the evaluation form, organizations most often assess goal progress from the previous year and set goals based on the past year's performance. This is often conducted between the employee and the supervisor. Occasionally, the supervisor alone will set the employee's goals and in some cases employees can set their goals on their own and the supervisor will approve them. Goals are often required to have specific action plans and deadlines. Employers occasionally refer to these goals specifically as SMART goals (specific, measureable, achievable, realistic, and timely).

### **Development**

Many organizations include developmental assessment and planning on their performance evaluation forms. Supervisors and employees will commonly identify developmental goals or areas where improvement is needed. In many cases, specific training or development opportunities are identified (i.e. mentoring, education, observation, formal training, etc.)

**Required Signatures**

Most organizations require one or more signatures on their performance appraisal forms. Most commonly, both the employee and their immediate supervisor/manager are required to sign the performance evaluation. Higher level supervisors and managers occasionally sign the appraisal forms. Human resources is sometimes required to sign the form as well. Very rarely does the President/ CEO or even senior leaders sign evaluation forms.

## Reviews of Performance Appraisal Forms

The following are summaries of the performance appraisal forms provided by participating organizations.

### Case 1: Manufacturing, 51-200 employees

Part of appraisal	Organization's practices
Performance criteria	Meeting production standards; job knowledge/technical ability; adaptability/versatility to change/initiative; housekeeping (cleanliness and organization); following work rules
Rating scale	Performance criteria are rated on a 4-point scale customized to each criterion.
Comments	Employees and supervisors may provide comments on the form at the end of the document.
Goal setting	Not addressed in evaluation
Development	Supervisors indicate future training requirements.
Required signatures	Employee, supervisor, human resources
Other notes	Not available

**Case 2: Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Achievements (top three since last review); productivity (accuracy, thoroughness; efficiency, and volume of work); safety (respects and abides by safety regulations); cooperation and teamwork (effectively work with others); dependability (commitment and completion of tasks in a timely manner); job knowledge (understands how job impacts other parts of organization); skills and training (maintains and improves skills); attendance and punctuality (attends work daily and conforms to work hours); initiative (provides new ideas and seeks new challenges and opportunities); customer service (how well internal and external customers are served)
Rating scale	Performance criteria are rated on a 5-point scale (exceeds all requirements, exceeds most requirements, meets all requirements, meets most requirements, unacceptable).
Comments	Supervisors and employees have the opportunity to provide comments for each criterion.
Goal setting	Goal form includes major objectives for the year, supervisor's assessment of previous year's goals, and self-appraisal of goal achievement (both assessments using one rating based on rating scale).
Development	Supervisors and employees identify training goals and determine via what method the training goals will be achieved (i.e. mentoring, self-study, etc.).
Required signatures	Employee, supervisor, second-level supervisor, human resources
Other notes	Not available

**Case 3: Manufacturing, 201-500 employees**

Part of appraisal	Organization's practices
Performance criteria	Exhibit commitment to mission and priorities of business unit; demonstrate knowledge of and exhibit proper safety and housekeeping behaviors; meet all work schedule and attendance expectations, adhere to established quality standards, meet productivity expectations for task and department; demonstrate competent work behaviors, work effectively with others; demonstrate respect for others; demonstrates sound judgment; considers the impact of decisions on customers; respond well to changes; resourceful; suggests improvements; demonstrates understanding of ethics policy through ethical behaviors; delivers timely, accurate work; prioritizes projects and tasks based on performance expectations; listens and responds appropriately to customer requests and concerns; represents the organization professionally to vendors, customers, and the public
Rating scale	Performance criteria are rated on a 3-point scale (exceeds expectations, meets expectations, needs improvement) and a not applicable option is also included. Supervisors assign an overall performance rating using the same scale which should be consistent with their other ratings.
Comments	Supervisors can comment on what areas the associate is doing their best work, what areas of improvement are needed, and what is being done to help the employee improve in the area. They may also provide overall comments. Employees may comment on the appraisal results.
Goal setting	Supervisor lists any specific goals (short-term or long-term) for the upcoming period, including dates of completion.
Development	Not addressed in evaluation
Required signatures	Immediate supervisor/manager, next-level manager, and employee
Other notes	Evaluation includes information regarding current and proposed hourly rates and asks for information related to number of corrective actions, work injuries/incidents, days absent, and times tardy/left early.

**Case 4: Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Decision-making; effective communication; trust and integrity; ensures fair and equitable treatment; respects others; performance-orientation; professionalism; manages conflict; promotes learning; flexibility and ability to multi-task; follow-up
Rating scale	Performance criteria are rated on a 3-point scale (exceptional, fully effective, partially effective, needs improvement). Supervisors assign an overall performance rating using the same scale.
Comments	Supervisors can comment on the primary focus areas, priorities, or objectives for the past year; accomplishments in which they were especially proud; missed opportunities; tasks the associate would like to continue or start doing and stop doing; and resources or changes needed for the employee do to a better job moving forward. Supervisors also provide comments to support their ratings for each performance dimension.
Goal setting	Not addressed in evaluation
Development	Not addressed in evaluation
Required signatures	No signatures required

**Case 5: Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Customer service and satisfaction; technical/functional job knowledge; productivity; professionalism; teamwork; development; communication; innovation and creativity; leadership; and safety
Rating scale	Performance criteria are rated on a 3-point scale (exceeds expectations, meets expectations, needs improvement) and a not applicable option is also included.
Comments	Supervisors are required to support their ratings of each performance dimension with comments and examples. They may also provide general comments at the end of the appraisal. Employees can comment on three achievements they had in the past year and three improvements needed. They also can comment on suggestions or changes to their current job or company policies and procedures that would make working at the organization more satisfying.
Goal setting	Supervisors identify up to four goals or results for employees to achieve within the next year and development training or resources needed to accomplish goal and timetables or deadlines for each goal.
Development	Addressed in goal setting section
Required signatures	Employee, supervisor

**Case 6: Manufacturing, 1-50 employees**

Part of appraisal	Organization's practices
Performance criteria	Quality of work; dependability; job knowledge; interpersonal relationships; decision-making; communications; initiative; performance planning; management and supervisory employees are also assessed on performance management, function management, and budget management.
Rating scale	Performance criteria are rated on a 6-point scale (exemplary, exceeds requirements, meets requirements, usually meets requirements, below requirements, unacceptable). Supervisors are asked to provide an overall rating score using the same rating scale.
Comments	Supervisors are asked to list employees' top three accomplishments and top three strengths (including an example). Supervisors also can comment on each performance dimension rating.
Goal setting	Not addressed in evaluation
Development	Not addressed in evaluation
Required signatures	Employee, supervisor, next-level manager

**Case 7: Manufacturing, 201-500 employees**

Part of appraisal	Organization's practices
Performance criteria	Management by objectives format including variable financial, strategic, and organizational objectives (up to three in each area)
Rating scale	Supervisors indicate measures and results (what was achieved, how it was achieved, if the achievement met standards of performance). Percentage weights are assigned to each objective. Supervisors also provide an overall rating (exceeded all performance requirements outlined for the objectives and to, or above, the agreed upon standards; exceeded a majority of the performance requirements outlined in the objectives, and fully met all other performance requirements to the agreed upon standards; met all performance requirements outlined in the objectives, and to the agreed upon standards; met some or all performance requirements outlined in the objectives, and/or did not fully complete them to the agreed upon standards; did not meet any of the performance requirements outlined in the objectives, and to the agreed upon standards).
Comments	As the overall assessment and rating, supervisors describe the employee's overall contribution to the objectives assessed in the appraisal. Employees can comment on career interests (short-term and long-term), year achievements, career aspirations, job direction, and development needs. Employees can also attach additional comments if needed.
Goal setting	New objectives are created for the next year.
Development	Supervisors complete a development plan for each employee which indicates the competency and feedback on strengths, development needs, and plans for development which are aligned with performance objectives.
Required signatures	Employee, supervisor

**Case 8: Manufacturing, 201-500 employees**

Part of appraisal	Organization's practices
Performance criteria	Professional skills and knowledge; communication skills; performance to annual goals; quality; productivity and scope; customer focus; speed/focus/passion; accountability; teamwork and conflict resolution; trust and respect; innovation, continuous improvement, and problem solving; uncompromising integrity; supervisors and managers are also assessed on leadership; planning, delegating, and controlling; developing people
Rating scale	<p>Performance criteria are rated on a 7-point scale (significantly surpassed all goals and is at the top of peer comparisons, exceeded all or most expectations and is in the upper quartile of peer comparisons, met all and exceeded some expectations and is above average in comparison to peers, met all expectations and matched peer performance, met mostly all expectations and was below peer performance, failed to meet several expectations and was in the lower quartile of peer performance, failed to meet most expectations and was at or near the bottom when compared to peers).</p> <p>*Peer comparisons are based on accomplishment of goals, skills and knowledge, demonstration of results, and demonstration of key values.</p> <p>*Also provides a rating option for employees new in position (less than one year).</p>
Comments	Supervisors can provide comments for each performance criteria rating. They can also provide comments regarding other accomplishments (i.e. significant unplanned projects or achievements) and how well each accomplishment was achieved. Employees may provide comments about the previous year and overall evaluation.
Goal setting	Supervisors describe the results of job-related goals established during the last performance review in terms of targets, accountabilities, initiatives, and innovations. Supervisors list goals agreed upon by them and their employees.
Development	Supervisors provide a performance summary of each employee's accomplishments, skill development, and career growth. They list any personal or professional job-related developmental needs and agreed-upon activities or goals that have been set. Supervisors also list results from the previous year's developmental action plan including measurable actions taken or results achieved. An optional career planning section is also provided which allows supervisors to list any long-term developmental goals or career interests the employee has.
Required signatures	Employee, supervisor, manager, human resources manager

**Case 9: Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Quality; productivity; job knowledge; reliability; attendance and punctuality; teamwork; creativity; initiative; adherence to policy; interpersonal relationships; safety
Rating scale	Performance criteria are rated on a 4-point scale (unidentified scale). Includes columns for self rating and supervisor rating and each rating has a point value attached which is used to sum the overall rating/score.
Comments	Employees and supervisors can provide general comments about the evaluation.
Goal setting	Not addressed in evaluation
Development	Supervisors describe the employee's strengths (how skills and abilities relate to results), developmental needs (areas which need improvement or development), and developmental action plan (actions employee and manager will take to accomplish development needs).
Required signatures	Employee, supervisor, next level manager

**Case 10: Manufacturing, 500+ employees**

Part of appraisal	Organization's practices
Performance criteria	No standard performance criteria used. Supervisors develop 3-4 job expectations (focus areas) for the year based on employees' duties in their position.
Rating scale	Performance criteria are rated on a 5-point scale (outstanding, exceeded, met, partially met, did not meet expectations).
Comments	Employees and supervisors comment on each goal and job expectation. For each job expectation, employees are required to include specific results or benefit of action (quality, quantity, cost, and timeliness).
Goal setting	Supervisors and employees mutually agree upon SMART goals. Goals are written and weighted to equal 30% of their overall performance evaluation score. Employees and supervisors may comment on each goal. Supervisors assign ratings and percents based off of the goal weight.
Development	Not addressed in evaluation
Required signatures	Employee, supervisor
Other notes	One periodic review is required to be documented each year. A mid-year review is mandatory as well.

**Case 11: Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Core values and capabilities (integrity, excellence, responsibility, respect, courage, awareness, problem solving, standard work, continuous improvement, and visual controls); technical duties (specific job responsibilities); SMART goals
Rating scale	Performance criteria are rated on a 4-point scale (exceeds, meets, inconsistently meets, does not meet requirements). Supervisors provide an overall performance assessment score
Comments	Supervisors are required to provide comments and examples of how employees demonstrate the core values and capabilities, job specific technical skills, and competencies including specific examples. In addition, they provide comments regarding the overall performance assessment. Next-level managers can also provide comments about the overall performance assessment. Employees can also comment on the overall performance assessment results.
Goal setting	For each of the five SMART goals, supervisors create a goal description, goal measure, and comments about the achievement (whether it was achieved, quality of result, and aspects that contributed to the goal achievement). Supervisors can provide overall comments regarding the goal assessment.
Development	Not addressed in evaluation
Required signatures	Employee, supervisor, human resources

**Case 12: Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	People leadership, business leadership, operational leadership, change leadership, competencies, goal, development; performance criteria are weighted according to a factor
Rating scale	Performance criteria are rated on a 4-point scale (commendable, competent, needs improvement, unacceptable).
Comments	Supervisors may provide comments on each performance criterion. Employees may also provide comments on their appraisal and developmental goals.
Goal setting	Employees' past year's goals are rated on a four-point scale. Up to 3 new goals are created annually. Measurements and actual performance are documented and ratings are assigned.
Development	Areas for improvement are identified for the present job and areas to prepare for (in future jobs) are identified. Specific developmental steps such as coaching, training) are listed.
Required signatures	Employee, supervisor, department manager, human resources

**Case 13: Manufacturing, 51-201 employees**

Part of appraisal	Organization's practices
Performance criteria	Communication, cooperation and professionalism, dependability, initiative, job knowledge/quality, judgment, planning and organization, problem solving; performance criteria are weighted
Rating scale	Performance criteria are rated on a 4-point scale (exceeds requirements, meets requirements, needs improvement, unacceptable/probationary).
Comments	For any skill rated as "needs improvement" or "unacceptable," supervisors need to comment regarding the reason for the rating. Supervisors also must comment on the employee's key strengths and areas needing improvement. Employees comment on their evaluation.
Goal setting	Not addressed in evaluation
Development	Not addressed in evaluation
Required signatures	Employee, supervisor, department head, human resources
Other notes	Not applicable

**Case 14: Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Willing to support the ideas of others; instinctively helps others without being asked; makes a conscious effort to get along with others; personally accept responsibility for taking action when a situation or problem arises; identifies and communicates problems in a timely manner; ensures fair share of work is completed; seeks to set the next person up for success; admits and assumes responsibility for mistakes; understands own strengths and weaknesses; constantly exhibits a professional and positive demeanor; makes an effort to attend company-sponsored functions; responsibilities; communication; work area housekeeping/cleanliness; safety
Rating scale	Performance criteria are rated on a 3-point scale (commendable, acceptable, improvement needed).
Comments	Supervisors and employees can comment on the evaluation of performance criteria.
Goal setting	Not addressed in evaluation
Development	Not addressed in evaluation
Required signatures	Supervisor, employee, next-level manager, human resources
Other notes	Supervisors rate employees in one of nine quadrants on a continuum based on the rating of performance and values to identify top talent.

**Case 15: Non-Profit, 500+ employees**

Part of appraisal	Organization's practices
Performance criteria	Specific goals, job knowledge, quality of work, productivity, judgment, initiative, teamwork, organizational commitment, client population served (job specific), leadership, accountability
Rating scale	Performance criteria are rated on a 5-point scale (exceeds job requirements, meets job requirements, marginal performance/needs improvement, does not meet job requirements). Supervisors rate employees' overall performance on a 4-point scale (exceeds job requirements, meets job requirements, marginal performance/needs improvement, does not meet job requirements).
Comments	Employees comment on the accomplishments they are most proud of over the past year, key skills/competencies they've developed to make themselves an asset to the organization, projects or initiatives that did not go as planned, and specific skills/competencies they would like to improve within the next year. They are also able to provide additional comments.
Goal setting	Supervisors list up to 7 goals to be accomplished in the next year and key behavioral criteria to improve upon in the next year. In addition, annual goals from the previous year are assessed.
Development	Employees list skill-building training or seminars they have attended within the past year, continuing education or training that would make their work more effective, and additional projects, initiatives, or responsibilities they would like in the following year.
Required signatures	Employee, supervisor, division director
Other notes	Supervisors fill out a performance management guide which includes how the supervisor will manage the employee's progress, how they will provide feedback to the employee, how they will set up the employee for success, and how they will reinforce the employee's efforts and achievement of goals.

**Case 16: Non-Profit, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Focusing on the needs of members and engaging them; law/integrity/ethics (conducting activities according to highest ethical standards); diversity (respecting and cherishing others); sustainability (conducting activities that promote the conservation of natural resources); fiscal responsibility (conducting business activities in a fair, open, and transparent manner); positive atmosphere (seeks to create a positive, welcoming, inviting, and non-threatening atmosphere); safety; professionalism; image (represents organization positively to the environment); collaborates effectively with others to achieve positive outcomes; communication (openly and honestly, strives for clarity, asks for and provides feedback); time management (makes good use of time, is punctual, and is dependable)
Rating scale	Performance criteria are rated on a 5-point scale (exceeds expectations, meets expectations, below expectations).
Comments	Supervisors can provide comments regarding each employee's on-going responsibilities and goals at both mid-year and at year-end reviews. They can also comment on each rating assigned to the performance criteria as well as provide general comments about the mid-year review and year-end review.
Goal setting	Supervisors and employees create mutual goals. Supervisors can comment on each of the goals at mid-year and at year-end.
Development	Not addressed in evaluation
Required signatures	Employee, supervisor, department director, HR Director, President/CEO

**Case 17: Non-Profit, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Decision making/judgment, initiative, quantity, strategic thinking/management, teamwork, balance/composure, builds trusted relationships, business management skills, communicates effectively, continuously learns, dedicated to excellence, functional knowledge, integrity and credibility, intelligence, presence
Rating scale	Performance criteria are rated on a 3-point scale (exceeds expectations, meets expectations, needs development) and a not applicable option is also provided.
Comments	Supervisors and employees may provide comments for each performance criterion and performance and developmental goals. They may also provide overall, general comments at the end of the evaluation.
Goal setting	Supervisors and employees mutually identify two goals and determine descriptions of the goals, start and end dates, percent complete, status, and rating (on the 3-point scale).
Development	Supervisors and employees mutually identify two developmental goals and determine descriptions of the goals, start and end dates, percent complete, status, and rating of previous year's goals (on the 3-point scale).
Required signatures	Employee, supervisor, human resources representative

**Case 18: Non-Profit, 500+ employees**

Part of appraisal	Organization's practices
Performance criteria	Quality of work, quantity of work, dependability and reliability, commitment to organization, communication, human relations/interpersonal skills, initiative, analytical skills/problem solving, organization and planning, leadership skills, development, attendance, job specific criteria
Rating scale	Performance criteria are rated on a 5-point scale customized to each factor to evaluate employees. Supervisors assign an overall performance rating at the end of the evaluation according to a different scale (exceeds organization's standards, meets organization's standards, or does not meet organization's standards).
Comments	Supervisors provide general comments as well as comments about the employee's progress and achievements, areas deserving of praise, and the employee's strengths. They are also able to comment on their ratings for the performance criteria. Employees can make general comments about the appraisal results.
Goal setting	Employees list mutually agreed upon goals they have developed with their supervisors.
Development	Supervisor identifies employee's developmental needs – specific areas in which the employee's performance should or could be improved. In addition, employees comment on areas in which they feel they could benefit from additional training, responsibilities, etc.
Required signatures	Employee, supervisor

**Case 19: Non-Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Accountability, customer focus, communication, continuous improvement, job knowledge and application skills, teamwork, organization and planning, leadership
Rating scale	Performance criteria are rated on a 5-point scale (exceptional, highly effective, fully competent, developing, needs improvement) and a not applicable/don't know option is included.
Comments	Supervisor can write comments pertaining to each of the performance criteria and employees' general performance.
Goal setting	Supervisors list project objectives for the next year with estimated completion dates.
Development	Supervisors list development objectives for the next year with estimated completion dates.
Required signatures	No signatures required (online form)

**Case 20: Non-Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Adaptability, attitude, communication, attendance, conduct, initiative/judgment, interpersonal skills, job knowledge, work quality, work quantity
Rating scale	Performance criteria are rated on a 5-point scale (far exceeds requirements, generally exceeds requirements, meets expected requirements, acceptable but needs improvement to meet requirements, unsatisfactory/fails to meet minimum requirements) and a not applicable/too soon to rate employee option is included. Supervisors provide an overall performance rating using the same scale.
Comments	Supervisors comment on employees' major strengths and abilities and how they relate to the job requirements.
Goal setting	Supervisors list goals that will be accomplished during the upcoming year.
Development	Supervisors describe specific areas in which they feel the employee needs to improve and specific actions that will be taken to strengthen those areas including any training required and the deadlines by which improvements are expected.
Required signatures	Employee, supervisor (option for additional approval signature included)

**Case 21: Non-Manufacturing, 500+ employees**

Part of appraisal	Organization's practices
Performance criteria	<p>Expected key results: annual business plan fulfillment, annual budgets fulfillment, completion of documented individual development plan objectives, training and development of others, self-development, coaching, conducting meetings, continuous improvement, diversity, efficiency, employee satisfaction action planning, employee satisfaction results, hiring, performance reviews, planning and budgeting, quality of work, quantity of work, safety, timeliness of work</p> <p>Expected key behaviors: accountability (self), accountability (others), accuracy/precision, accuracy in accounting, adherence to and active support of policies, procedures and processes, assertiveness, attention to detail, balance between professional and personal life, change management skills, commitment/passion, communication skills (verbal, written, actively and willingly shares information, tact and diplomacy), competitive spirit, customer service, decision making (decisiveness/speed, fact based; quality, judgment), delegation skills, enterprise focus, enthusiasm, escalation of problems and/or issues to supervisors, fairness, flexibility/adaptability, follows instructions, follow-through/follow-up, honesty, implementation skills/path, initiative, integrity, interpersonal skills (listening skills; respect for the esteem of others; showing empathy), interviewing skills, leadership, organizational skills, positive attitude, prioritization skills, problem solving skills, process improvement skills, project management skills, reliability/dependability, results oriented, risk taking, sales driven, sense of urgency, strategic thinking, strong work ethic, support of the vision/mission, teambuilding skills, teamwork and interdepartmental cooperation, thoroughness/neatness</p> <p>Supervisors also list employees' duties and responsibilities and provide ratings on each of them.</p>
Rating scale	<p>Performance criteria are rated on a 5-point scale (significantly exceeds expectations, exceeds expectations, fully meets expectations, marginally meets expectations, unacceptable) and a not applicable option is included. Supervisors provide an overall performance rating using the same scale.</p>
Comments	<p>Supervisor can comment on any performance criteria as well as employee strengths, accomplishments, and ideas/opinions. They also document unfulfilled employee goals/expectations and employee ideas and opinion and can make general comments at the end of the evaluation.</p>

Goal setting	Not addressed in evaluation
Development	Not addressed in evaluation
Required signatures	Employee, supervisor, manager, senior manager

**Case 22: Non-Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Excellent customer service, excellent teamwork, positive attitude, exceptional quality, accuracy, outstanding initiative and productivity, consistent adherence policy
Rating scale	Performance criteria are rated on a 5-point scale (always, usually, generally, sometimes, never).
Comments	Supervisors provide comments that support their ratings of the performance criteria.
Goal setting	Supervisors create goals for employees for the next review period.
Development	Supervisors create and document a job performance improvement plan if an employee has substandard results.
Required signatures	Employee, supervisor, HR representative

**Case 23: Non-Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Consistently demonstrates effective communication skills using: active listening, written, verbal and information technology skills; protects confidential information; complies with safety instructions, observes safe work practices, and provides input on safety issues and promotes a safe work environment; consistently demonstrates the organization's values; consistently meets the organization's expectations for exemplary; customer service; adopts practices to improve work processes, enhance customer satisfaction and reduce wastes and costs; works effectively with team/work group and others to accomplish organizational goals; articulates role and participates in continuous quality improvement; attendance; acquires a minimum of 20 hours of training per year to include annual mandatory training and on-line training
Rating scale	Performance criteria are rated on a 4-point scale (surpassing, proficient, approaching, not met). Supervisors provide an overall performance rating using the same scale.
Comments	Supervisors can comment on each performance criterion and document a performance improvement plan.
Goal setting	Not addressed in evaluation
Development	Each evaluation section has an improvement plan comments section. In addition, for performance criteria rated as approaching or not met, supervisors can indicate associated developmental plans to help employees improve (mentoring, education, observation, practice, or other type of development). Supervisors also create an annual learning and self-development plan with the employee which defines three growth areas, outcomes expected, actions, evaluations, and general comments.
Required signatures	Employee, supervisor
Other notes	Evaluation includes a section for peer, staff, and customer feedback.

**Case 24: Non-Manufacturing, 51-200 employees**

Part of appraisal	Organization's practices
Performance criteria	Management by objectives format. Supervisors evaluate employees on major accomplishments and previous goals/objectives. They only provide an overall rating of performance and do not rate specific performance criteria.
Rating scale	Performance criteria are rated on a 4-point scale (significantly exceeds requirements, exceeds requirements, meets requirements, does not consistently meet requirements).
Comments	Employees are able to provide feedback about the department, manager, and anything else impacting their job.
Goal setting	Supervisors identify future goals and objectives for employees, suggesting a few specific projects or duties. Due dates are also included.
Development	Not addressed in evaluation
Required signatures	Employee, supervisor

## Respondent Demographics

Twenty four (24) organizations in Northeast Ohio submitted performance evaluations for the study; a breakdown of the industries and sizes they represent is provided below.

### Respondent demographics by industry and organizational size

	Percent
<b>Industry</b>	
Manufacturing	58%
Non-Manufacturing	17%
Non-Profit	25%
<b>Organizational Size</b>	
1-50	8%
51-200	63%
201-500	12%
Over 500	17%

## About ERC

ERC is Northeast Ohio's largest organization dedicated to HR and workplace programs, practices, training and consulting. ERC membership provides employers access to an incredible amount of information, expertise, and cost savings that supports the attraction, retention, and development of great employees. We also host the nationally recognized NorthCoast 99 program and sponsor the ERC Health insurance program. For more information about ERC, please visit [www.ercnet.org](http://www.ercnet.org).



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