

DIOCESE OF YAKIMA

Performance Evaluations Training Manual: A Tool for Pastors, Principals and Supervisors



Corporation of the Catholic Bishop of Yakima

5301-A Tieton Drive

Yakima, Washington 98908

TABLE OF CONTENTS

Performance Evaluations Training Manual for Supervisors

I. Our Management Role	Page 3
II. Performance Appraisal <i>Why Appraise Performance?</i> <i>Performance Appraisals Elements</i>	Page 3
III. Informal vs. Systematic Appraisal <i>Timing of Appraisals</i>	Page 5
IV. Self Ratings and Multisource Rating/360 Feedback <i>Self Ratings</i> <i>Multisource Rating</i>	Page 6
V. The Appraisal Interview	Page 6
VI. Performance Appraisals & The Law <i>Elements of Due Process</i> <i>Employment-At-Will and It's Exceptions</i>	Page 7
VII. Corrective Action	Page 9
VIII. Closing Summary Effective Performance Management	Page 9
Appendix <i>A. Quick Tips for Supervisors on the Performance Appraisal Process</i> <i>B. Professional Growth Plan for Teachers & Teacher Evaluations</i> <i>C. Staff Evaluation of School Principal & Principal Evaluations</i> <i>D. Employee Personnel Evaluation for the Diocese of Yakima</i> <i>E. Performance Management System Chart</i>	Page 10

I. Our Management Role

Human Resource (HR) management is a field that began in the 1900's primarily in clerical operations concerned with payroll, employee records, and arranging community visits. Social legislation of the 1960's and 1970's forced dramatic changes concentrating in legal ramification of policies and procedures affecting employees. Human Resource (HR) management is the design of formal systems in an organization to ensure effective and efficient use of human talent to accomplish organizational goals.

As School Pastors and School Principals (leaders) it is our due diligence to ensure effective and efficient use of personnel in order for the school to meet its goals as well as to meet the Diocese of Yakima Standards of Excellence: 1) academic excellence, 2) stewardship, 3) accessibility, 4) governance, and 5) Catholic identity. While the components of Human Resource Management are many, today we will concentrate on Performance Management and Appraisals (commonly known as Performance Evaluations). The purpose of this document will analyze how school pastors and principals can meet their goals by understanding the following: 1) understand the performance appraisal, 2) understand informal vs. systematic appraisals, 3) understand self ratings and multisource ratings/360 feedback, 4) understand the appraisal interview, 5) understand performance appraisals and the law, 6) conditions related to corrective action and 7) understand effective performance management.

II. Performance Appraisal

Why Appraise Performance?

Periodic reviews help supervisors gain a better understanding of each employee's abilities. The goal of the review process is to recognize achievement, to evaluate job progress, and then to design training for the further development of skills and strengths. A careful review will stimulate employee's interest and improve job performance. The review provides the employee, the supervisor, the School, and the Diocese of Yakima a critical formal feedback mechanism on an annual basis. However, these discussions should not be restricted solely to a formal annual review.

Performance Appraisal Elements

Performance appraisals are used for identifying individual employee strengths and weaknesses. Performance Appraisal Systems provide benefits in a variety of work situations.

Performance appraisals should avoid too much focus on the individual and uplift insights that would help the employee on their professional growth and development.

The performance component evaluates the following elements:

- Avoid appraisals focus too much on the individual and do not provide sufficient information that would help the employee on their development in order to perform better.
- Avoid being overly negative
- Appraisals should be fair, consistent, objective, and give more info than simply whether the employee is performing well or poorly.

Performance appraisals conducted poorly will lead to disappointment. Failure to conduct a performance appraisal may limit an employer's options regarding discipline and dismissal. In this regard, performance appraisals can serve as an advantage to determine if the employer acted fairly or determine if the employer's actions deemed necessary that the employee's performance did not meet the standards. If the dismissal of an employee is necessary, an employer may risk a negative legal outcome if they cannot provide evidence that an employee has been advised of his/her performance problems. Appraisals can provide justification for such actions if necessary. Employees benefit from an appraisal on areas of improvement, even if the appraisal is 100% positive.

As leaders, we want employees to perform their jobs successfully. We also want our people to see their service as a ministry. An effective performance management system increases the likelihood. A performance management system provides information to employees about their performance, helps clarify what the Parish/School/Diocese expects, identifies development needs, documents performance for personnel records and helps them know their value as an

employee and as a minister of the church. The ultimate outcome is to maximize personnel performance, and build up our shared ministry as a Church.

The performance component evaluates the following elements:

- Quantity of output
- Quality of output
- Timeliness of output
- Presence at work
- Cooperativeness in the Church's Mission

A good appraisal is based on results obtained by the employee in his/her job responsibilities, not on the employee's personality characteristics. The appraisal measures skills and accomplishments with reasonable accuracy and uniformity. It also provides a way to help identify areas for enhancement and to help promote professional growth. It should not, however, be considered the supervisor's only communication tool. Open lines of communication throughout the year help to make effective working relationships.

Each employee should receive a thoughtful and accurate appraisal. The success of the process depends on the supervisor's willingness to complete a constructive and objective appraisal and on the employee's willingness to respond to constructive suggestions and to work with the supervisor to reach future goals.

III. Informal vs. Systematic Appraisal

The performance appraisal can occur in two ways: informally or systematically. Informal appraisal is appropriate when time is an issue, because delays in giving feedback weaken its motivational effect. In addition, frequent informal feedback to employees also can prevent surprises during a formal evaluation and lessens anxiety of a formal evaluation. While informal appraisals are useful, it should not take the place of a formal appraisal.

A systematic appraisal is used when the contact between manager and employee is formal, and a system is in place to report managerial impressions and observations on employee performance.

Timing of Appraisals

The Diocese of Yakima recommends for appraisals to be conducted at least once a year. Newly hired employees receive an appraisal after the completion of 180 days after employment, annually thereafter. This initial evaluation period may be extended if the supervisor deems appropriate. Successful completion of the initial evaluation period does not guarantee later employment or limit the supervisor's discretion with respect to corrective action or discharge. (Refer to the Employee Personnel Policies of the Diocese of Yakima, Section 4, page 9).

IV. Self Ratings and Multisource Rating/360 Feedback

Self Ratings

The Diocese of Yakima recommends for employees to conduct a self appraisal. The self appraisal forces employees to evaluate about their strengths and weaknesses and set goals for improvement. Self appraisals can be a valuable and credible source of performance information.

Multisource Rating and 360 Feedback

The multisource rating consists of a number of constituencies that supply feedback about the employee to the supervisor, these constituencies can include parents, other teachers, parishioners, colleagues, key leadership groups, and selected parish staff. The manager remains the focal point both to receive the feedback from the various constituencies, determine its validity, and to engage in appropriate follow-up. The supervisor's perception drives the process. A 360 feedback allows the ability to capture the various evaluations of the employee's different roles.

V. The Appraisal Interview

The Appraisal interview is a time to emphasize the positive aspect of the employee's performance, while still discussing ways to make needed improvements. Properly prepare for the appraisal, an appraisal that is handled poorly will make the employee feel resentment and could lead to conflict. The conflict would be reflected in future performance. Listed below are recommendations for the appraisal interview:

- Make sure to prepare in advance
- Focus on performance and development
- Be specific about reasons for ratings

- Decide on specific steps to be taken for improvement
- Consider the supervisor's role in the employees' performance
- Reinforce desired behaviors
- Focus on future performance

Performance management can lead to high employee motivation and satisfaction. To be effective, make sure a performance management system is:

- Consistent with the strategic mission of the School/Parish/Diocese
- Beneficial as a development tool
- Useful as an administrative tool
- Legal and job-related as a line to current employment law and case history
- Viewed as generally fair by employees
- Effective in documenting employee performance

VI. Performance Appraisals and the Law

Elements of Due Process

Terminated employees who are successful at winning wrongful discharge claims achieve this by proving they were denied “due process”. Due process is what we refer to as progressive discipline. An aggravated employee could argue that the Diocese of Yakima breached its de facto obligation of “good faith and fair dealing” in managing its employees and in following its own Diocesan personnel policies. As supervisors we do not ever want to be in a situation where an arbitrator concludes that due process was denied and end up losing on a wrongful termination suit. Note well: a pressured resignation litigates the same as a wrongful termination.

A legal theory called the “job as property doctrine” states that employment is a fundamental right of American workers and that the loss of employment has such a serious impact on a person's life that individuals should not lose their jobs without the protection of due process. This was afforded under the Fourteenth Amendment to the Constitution. Applying due process involves recognizing the employee's right to be informed of unsatisfactory performance. It means that the employee has had a chance to defend themselves and improve before an adverse employment action (such as termination) happens. While the State of Washington maintains an employment-at-will status, there are exceptions to the employment-at-will doctrine.

Employment-At-Will and It's Exceptions

Employment-at-will status is employment that does not guarantee an employee with job security. The employee can be terminated on a moment's notice with or without cause. Likewise, the employee may leave their employment at any time, with or without notice. However, employment-at-will does imply statutory exceptions. This means that the employer cannot terminate personnel if the dismissal infringes upon a protected right or goes against public policy. Listed below are the five exceptions to the employment-at-will doctrine: 1) Employment Contracts, Statutory considerations, 3) Public Policy Exceptions, 4) Implied Covenant of Good Faith and Fair Dealing, 5) Implied Contract Exceptions.

1. **Employment Contracts:** If a contract exists, the employer must adhere to its terms and conditions, including notice of requirements, or else a breach of the contract will occur. When an employment contract covers a fixed period of time and is silent concerning grounds for terminating the contract, courts in many states have held that employers have implied obligation to discharge for just cause.
2. **Statutory Consideration:** Dismissals are illegal if they are based on age, sex, national origin, religion, union membership, or any other category established in Title VII of the 1964 Civil Rights Act or other subsequent legislation. Discrimination is consequently one of the exceptions of the employment-at-will rule. Given the changes from the Civil Rights anyone over the age of 40 is in a protected class and charges may arise any time you fire someone in a protected class.
3. **Public Policy Exceptions:** An employer cannot terminate an employee for filing a worker's compensation claim, for "whistle blowing," for engaging in group activities that protest unsafe work conditions, or for refusing to commit an unlawful act on the employer's behalf.
4. **Implied Covenants of Good Faith and Fair Dealing:** The employer is prohibited from discharging long-term employees just before they are due to receive anticipated financial benefits.

5. **Implied Contract Exceptions:** The employer may be bound by promises published in the employee handbook or oral promises made at the hiring interview requiring “just cause” to terminate.

Due to the limitations mentioned, it is highly recommended to protect the at-will employment status. The employment-at-will clause has to be noted in the following documents: 1) the employment application, 2) the offer letter, and 3) the employee handbook. It is recommended that the employment-at-will be included as part of the disciplinary process. This corrective action especially for employees that have been hired more than ten years.

VII. Corrective Action

Corrective Action: If an evaluation is leading to corrective action. No one may be terminated as an employee of the Diocese of Yakima without the signature of the Chancellor. It is the policy of the Diocese of Yakima and Catholic Mutual that requires consultation with any attorney before terminating an employee, to guarantee coverage in the event of a dispute.

VIII. Closing Summary: Effective Performance Management

Performance management systems identify, encourage, measure, evaluate, improve employee performance and also help build up the shared mission with the church. It is important for supervisors to understand appraisals as their responsibility and to contact the Diocese of Yakima when they have questions. By careful attention a supervisor’s appraisal of an employee can enhance performance. Through this process, employee performance can be improved, and poor employee’s performances are improved or they are removed from the Parish/School/Diocese. A performance appraisal is a management process since employees’ performance is probably the most important responsibility of supervisors. A carefully completed performance appraisal can provide the documentation for corrective action and overtime termination.

Quick Tips for Supervisors on the Performance Appraisal Process

In preparation of the appraisal, familiarize yourself with all aspects of the process. To properly complete the performance appraisal, it is essential that you thoroughly understand the duties and requirements of the position held by the employee. Therefore you should review the Position Descriptions for your employees online.

After reviewing the Position Description and holding a self-appraisal meeting (if applicable) with the employee, complete the Supervisor Evaluation online and determine an overall performance rating keeping in mind the following:

1. **Be objective.** Eliminate personal prejudice and feelings of favoritism.
2. **Consider each performance area independently.** Do not assume that excellence in one area implies excellence in all areas or that poor performance in one area implies poor performance in all areas.
3. Base your appraisal on **observed performance** during the appraisal period, not on what is expected in the future.
4. Evaluate overall performance throughout the entire appraisal period. Do not base the ratings only on significant successes and failures. These should be considered in context with the **total performance**.
5. Consider various aspects of the employee's performance that you want to discuss with the employee. The appraisal process should serve as a stimulus for **better communication** between you and the employee.
6. Consider your appraisal in terms of the employee's **present** duties, not in terms of the duties of a future or past description. The appraisal should reflect your fair judgment of an employee's

work performance. Make helpful suggestions and provide adequate instruction. Be prepared to discuss these items.

[Appendix B](#)

Professional Growth Plan for Teachers

&

Teacher Evaluations

