Supervisor/Manager/Program Director - Performance Appraisal Instructions

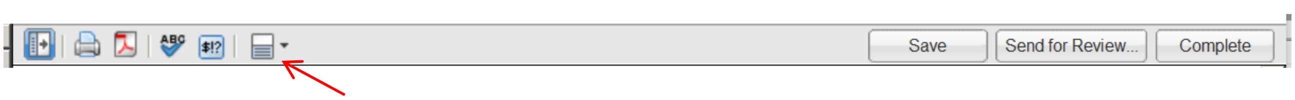
This document provides an overview for Supervisors/Managers/Program Directors to complete performance appraisals for their employees. Second level supervisor's and third party comments may also be inserted using annotations or by attaching separate documents.

STEP 1: Review the introductory e-mail you received on the e-Appraisal process regarding access to Halogen and use the method/link appropriate for your workstation to log on. Please use Internet Explorer (IE) and bookmark the site in your browser for future use. You may also e-mail hrappraisal@ameslab.gov if you have questions on the appraisal process. Single Sign On (SSO) has been deployed for Halogen, but if you are asked to log on, please use your ***Ames Lab network user name and password***.

> ***TIP:*** *Click on the* ***Save*** *button frequently to safeguard your work while you are filling out the various sections of the appraisal. Do not click on* ***Complete*** *until you wish to submit your completed appraisal to your Supervisor. If you wish to stop work on your appraisal and come back to it at a later time,* ***Save*** *your work, then click on the Red "X" in the upper right hand corner of the Performance Evaluation form. You may return to work on your appraisal at any time by logging on and clicking on the* ***Write your self-appraisal*** *link again.*

A note regarding system e-mails*: Due dates have been set by the Human Resources Manager for each step of the process. Email notices have been configured to coincide with due dates at various stages of the process. The system automatically sends 3 types of emails. The first occurs when the Performance Appraisal process opens. Another email is sent if a due date is approaching and a task is not started or completed. A Past Due email is sent to the employee and evaluating supervisor/manager when a task is past due. The past due email will continue every day until the task is completed. You will not receive an email every time you have a task to complete. While the Performance Appraisal Process is open (approximately 6-8 weeks each year), it is strongly suggested that you log on each day to see what tasks you have to complete and keep you on top of the process, and ahead of the due dates.*

STEP 2: View all tasks ready for you to complete on your Home page. You may also see the individual status of all of your direct reports by clicking on Task Status. To review an employee's self-appraisal, click on the link ***View Self-Appraisal*** on the right hand side of the page. Or within ***edit appraisal***, you may also use the split screen function to view your employee's self-appraisal comments by clicking on the **Show Split Screen** icon (right-most icon on form toolbar).



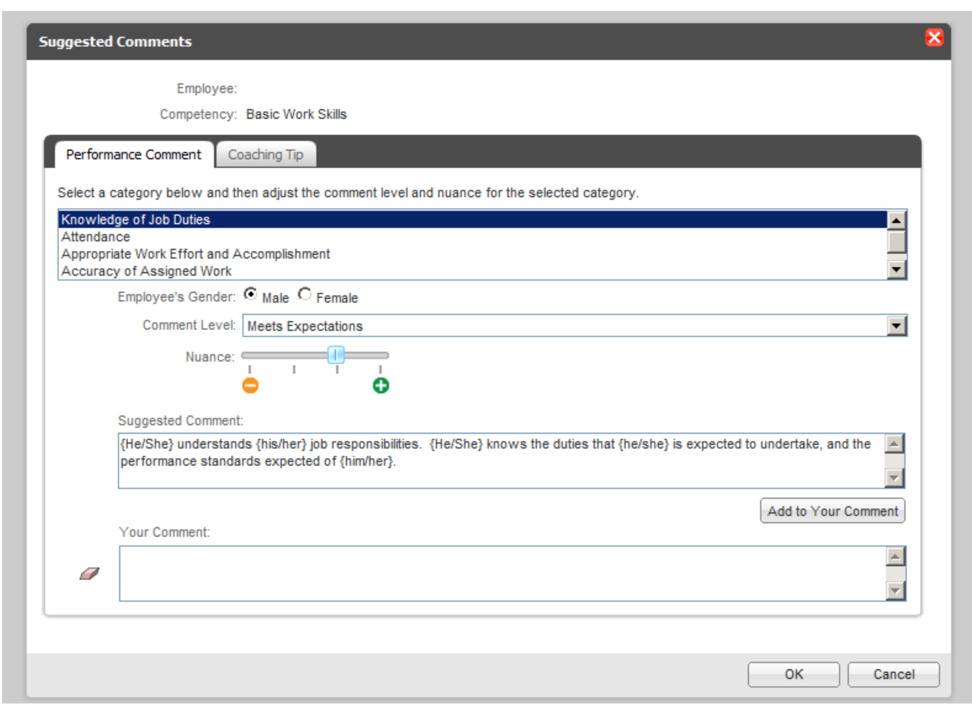
STEP 3: All sections of the Performance Appraisal form must be completed. An overview of each section is provided below.

Provide an overall evaluation summary: This section is normally used to describe the employee's overall performance during the specified performance period.

Part 1: Duties and Responsibilities section: Review the duties and responsibilities listed and choose a rating for each duty. If your employees were not required to copy their duties and responsibilities into the evaluation form, you will need to do so. To access the PD for each of your employees, click on the Supervisor Access to Direct Report Position Descriptions on the Halogen E-appraisal Process Resources page of the website and follow the directions for logging on. Copy and paste each of the duties from the PD into the evaluation form. **(Note: D and K base employees do not have a Position Description to access; duties must be manually entered)**. If you have not previously accessed the system as a Hiring Supervisor, you will need to ***Create a User Account*** (upper left) and request access to the system as a **Hiring Supervisor/Proxy** for your employees. If you have questions regarding this, please contact Human Resources for assistance. Under the Position Descriptions header click on the "***Search Position Descriptions***" link on the left and enter the last name of the employee you are evaluating in the employee last name field. Check the "**check all**" box, and click search. Use the "***Get Reports List***" link and select the appropriate PD type for the employee you are evaluating. Copy and paste the duties and responsibilities, along with the percentage of time by toggling between the open performance appraisal in Halogen and the ISU system. Once all the duties have been copied, close the PD window and log out of the ISU Classification and Hiring System.

Review the Accuracy of PD and Required License/Certification sections. If changes need to be made to the Position Description, the supervisor should discuss these changes during the face-to-face evaluation meeting. Any answers of no (N) will receive a follow up by Human Resources after the appraisal processes is completed for the year. In addition, please carefully review the PD for any required License/Certification and ensure they are valid.

Part 3: Performance Factors: Supervisors should rate employees on each of the competencies. In the box titled "List strengths and/or opportunities for improvement", supervisors should enter comments about the employee on the various competencies in the category. Comments should support the ratings, and **any rating of "Exceeds Expectations" or "Unacceptable" requires a comment**. For assistance composing comments, click on the box *Suggested Comments*. A window opens showing the competency categories as shown below.



The competency categories are listed at the top. For assistance in writing comments, you may click on a category to see suggested comments for that particular competency area. You should first select the gender of your employee which tailors comments as such or insert their name in your comment. Drag the nuance scale to the rating you chose for that competency to see the suggested comment(s). To add the comment, click on **Add to your Comment**. You can also edit your comment to include specific terms or add to it as you see fit. You may add multiple comments pertaining to each competency to the box. When you finish commenting, click ***OK*** to return to the Performance Evaluation form. *Note: The HR Representative will review the performance appraisal form and approve it prior to your meeting with the employee. If comments do not support the ratings or no comments are entered for ratings of "Exceeds Expectations", or "Unacceptable" the performance appraisal form will be returned to the evaluating supervisor for edits*.

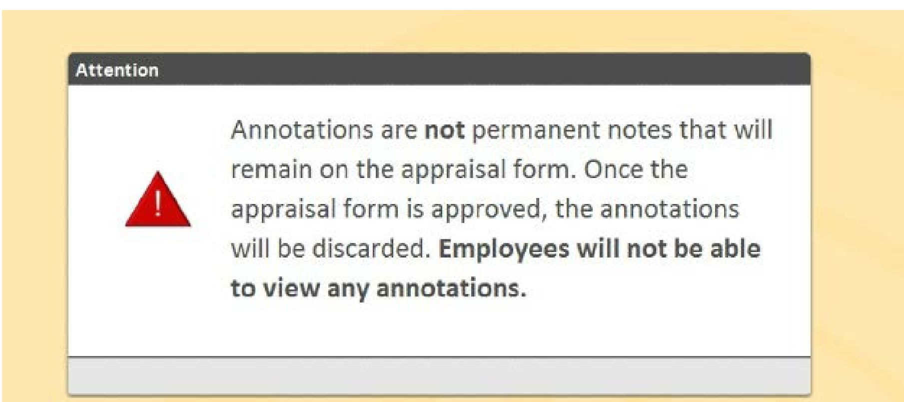
The Comment Helper is available for Sections I to VII of the Performance Appraisal form. Coaching tips will be added at a later date to assist supervisors further.

Notes on Using Annotations

When reviewing or approving a form, you may have a question or comment for the employee. Adding annotations allows you to ask specific questions or to provide your comments to the person who wrote the content in order to get clarification. Similarly, an employee might have a comment or question for you which he/she can add as an annotation. All annotations must be read before approving the form. Annotation icons and their meanings are shown below.

Icon	Description
	This icon indicates that you must review the annotation before you can complete your assigned task. Click this icon to read the annotation.
	This icon indicates that you can create an annotation if required. Click this icon to create a new annotation.
	This icon indicates an annotation that you have added or an annotation created by someone else that you have read. Click this icon to view or edit your annotation.

To enter a response to the annotation, enter it in the New Annotation box. If you would like to view and edit the content of an annotation you have added, click the View/Edit Annotation Icon.



<u>Part 4 Performance Plan</u>: Past Goals will populate from the previous year. You may provide comments and completion information relative to meeting the goals set for the evaluation year.

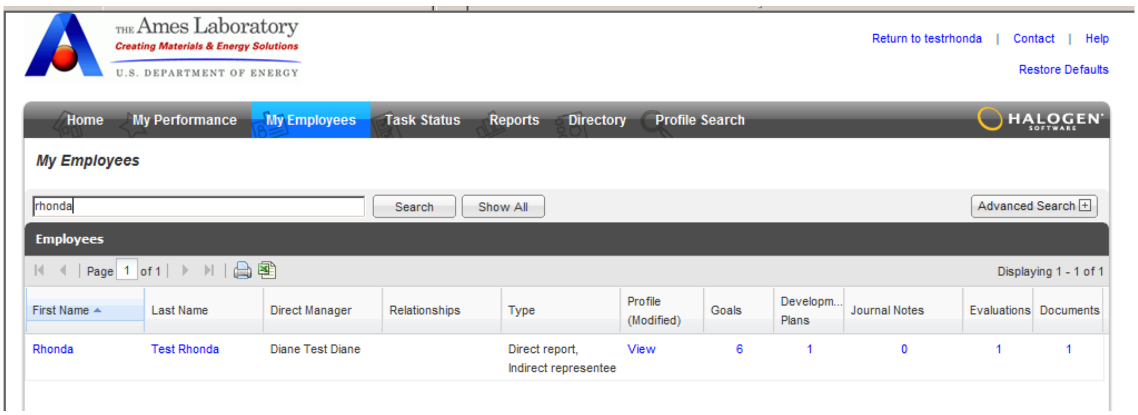
<u>Establishing New Goals</u>: Set 1-4 goals for the upcoming performance year. See the narrative for tips on establishing goals. You may use the timelines and other options within each goal as you desire. If employees are not required to set goals, enter "Did not have goals" in the first box.

Professional Development and Training Compliance: See the narrative instructions for completing this section. To review the employee's training requirements, see section below in A*ttaching documents.*

Once you have completed the performance appraisal and saved your final changes, click on **Complete**. Both Spell Check and Grammar Check will run. Note: Once you click Complete, you will be unable to make further changes to the evaluation and the document will be routed to the next level of approval. If you would like to send the appraisal to a 3rd party for additional input (outside the normal hierarchy), you may click on the box **Send for Review** and select the person you would like to provide input. The form will eventually return to you as a task to complete to incorporate any additional comments from a 3rd party reviewer. Complete your edits and approve the evaluation to route to the next approver by clicking on **Complete**.

Viewing Attached Documents

Supervisors/Managers or Program Directors may have required employees to attach certain documents to the performance appraisal (list of significant accomplishments, current vitae, list of recent publications, etc.).   To view any of the employee attributes, go to your Home page click on the My Employees tab. The screen below appears.



Numbers will appear in the category and define how many items or documents have been added to the employee record. You may click on any of the numbers to open and view the documents or items in that category. The current year Training document is a preloaded document based on the Cybertrain system at the time HR initiates the current review process. Supervisors will need to review this document when they conduct the face-to-face review and instruct employees to complete any training requirements in the Professional Development and Training Compliance section.

Once you are finished reviewing the documents, you may log out of the Halogen system. If you accessed Halogen through Sportal2, be sure to log off of that server as well.

Performance Appraisal Routing and Steps Remaining

The Performance Appraisal routes to the HR Representative for review and approval. The HR Representative has the option of approving the form or returning it to the Evaluating Supervisor for additional comments, clarification, or correction. After submitting Performance Appraisals, Evaluating Supervisors should routinely log on to the Halogen system to monitor their "To-Do" list displayed on the Home page. The page will divide as follows: the top portion is your evaluation status as an employee; and the bottom portion is tasks to complete as an Evaluating Supervisor/Manager/Program Director. Status buttons show what stage the particular task is currently in. Additionally, the Task Status screen displays a dashboard of progress across the top highlighting each step of the process, the due dates of each step, and the number of appraisals in each step. Pay close attention to the symbol key regarding whose To-Do list the task is actually on. Once HR approves the appraisal, you will need to complete the following steps to finalize the appraisal for each of your employees.

Step 1: ***Meet with employee and add final comments:*** Evaluating Supervisor schedules evaluation meeting with the employee. (The Evaluating Supervisor may wish to open or print the current Training document or any other attached documents prior to the meeting. For instructions, see the section titled Viewing Attached Documents). The Evaluating Supervisor clicks on ***Review & Comment*** to open the form for discussion. The employee has the option of adding any comments they may have in the Employee Comments box at the bottom of the form.

Step 2: Complete the P&S Confirmation Form or the Merit Confirmation form based on the employee you have just evaluated by clicking on the appropriate form link under the Employee Comments box. An overall rating must be checked and both the employee and the Evaluating Supervisor must sign the form. Please return the completed confirmation forms to the Ames Laboratory Human Resources as you complete evaluations. You may e-mail a PDF version of the forms to hrappraisal@ameslab.gov or deliver paper copies, whichever you prefer. Note: Performance Evaluations are not considered complete until they are electronically signed and confirmation forms are received by the Ames Laboratory Human Resources Office.

Step 3: ***Employee sign-off and Supervisor sign-off***: Both the employee and the evaluating supervisor can sign off on the same computer session. With the Evaluating Supervisor logged on, Click on ***Comment & Sign Off*** to open the Performance Evaluation form. This is the final time that any comments can be added to the Performance Appraisal form either by the employee or the evaluating supervisor. When you are finished click on **Save**, then **Sign-Off**. Single Sign On (SSO) has been deployed for Halogen, but if you are asked for a password, please use your ***Ames Lab network password*** to electronically sign off on the form. Click on **OK** and the final PDF appears. Close out by clicking on the red "X".

The Evaluating Supervisor then returns to the Task Status screen and clicks on the task ***Sign-off appraisals for direct reports.*** (You may also use the ribbon across the top to move through the final three steps.) Here you may view the appraisal again, or simply click on ***Sign Off.*** If asked for a password, please use your ***Ames Lab network password*** to electronically sign off on the form. Click on **OK** to finish.

Halogen 911

If you have questions or issues with the Halogen system, please don't hesitate to e-mail hrappraisal@ameslab.gov or call 4-2680. HR staff members receive these e-mails and will be able assist you.