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Comprehensive Textbook of Nursing Administration & Ward Management



2nd Edition

Previously Known as
Ward Management and Administration for Nurses

Manjubala Dash | *Foreword* KV Raman

JAYPEE

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CHAPTER
13

Performance Appraisal

Chapter Overview

- Definitions, goals and objectives of performance appraisals
- Classifications of performance appraisals
- Elements of an effective performance review
- The performance appraisal process
- Components of successful performance appraisal system
- Techniques for appraising performance
- Barriers to an efficient appraisal system
- Techniques to guarantee accuracy in performance appraisals
- The legal repercussions of performance evaluation
- Performance appraisal benefits

Learning Objectives

At the end of the chapter learners will be able to:

- Define performance appraisal.
- Enlist the goals and objectives of performance appraisal.
- Explain the classifications of performance appraisal.
- Enumerate elements of effective performance review.
- Describe the performance appraisal process.
- Explain the components of successful performance appraisal system.
- Discuss the techniques for appraising performance.
- Elaborate regarding barriers to efficient appraisal system.
- Explain the techniques to guarantee accuracy in performance appraisals.
- Discuss the legal repercussions of performance evaluation.
- List the benefits of Performance appraisals.

INTRODUCTION

Performance appraisal, sometimes known as efficiency, merit, or service rating, is the process of evaluating a worker's performance and advancement in a position and determining his potential. It is a methodical approach to gathering, examining, and documenting data about an individual performing a particular task as opposed to evaluating the task itself as in the case of job analysis.

In the hospital industry, performance appraisal refers to a methodical assessment of staff members by managers or other individuals acquainted with their work, as employers have a keen interest in employee performance. Numerous administrative choices, including those pertaining to hiring, training, promoting, transferring, administering wages, and salaries, etc., depend on appraisals.

DEFINITION

- Performance appraisal is the assessment of the amount, caliber, and style of work completed within a given time frame in relation to the overall work environment.
- The process of gathering, evaluating, and documenting data regarding an employee's relative value is known as performance appraisal.
- An employee's performance in his current role and his potential for advancement is evaluated systematically, periodically, and impartially through performance appraisals (Flippo).
- Performance evaluation is a methodical process for evaluating an employee's work over a specific time period and making plans for his future.

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GOALS AND OBJECTIVES

Data that the organization requires for operational reasons:

- To supply information to support managerial choices about promotions, transfers, demotions, incentives, awards, merit, salaries, raises, and terminations from the workforce.
- To eliminate underachievers.
- To take into account the worker's suitability for various job kinds.
- To have the data needed readily available for things like recommendation letters, domestic inquiries, avoiding snap judgments, and re-employment.
- To instill in the department a desired culture and traditions.
- To fulfill the criteria for organizational development and manpower planning, such as identifying employees who have the potential for promotion and their development needs—what is expected of them, what are their areas of strength and what particular deficiencies they need to overcome.

Employee Goals

- The employee receives performance feedback, which inspires them to work harder. It provides feedback on a subordinate's performance, helps identify strengths and deficiencies, and recommends necessary adjustments to attitude, abilities, or job knowledge.
- The employee gains a clear understanding of their function in the workplace, especially after being informed of expectations.
- The worker may articulate their career goals inside the company.

The Appraiser's Goals

- Higher authority receives input on how successfully the subordinates have been informed of the institutional goals, how well they have been motivated to succeed, and what resources have been made available for them to do so.
- Examine the work environment with the employee, determine the resources that the latter needs, and assist the appraiser in establishing the department's and their own contributions to the institution's goals.

Objectives

- To evaluate each employee's work over a predetermined amount of time.
- To assess the discrepancy between intended and actual performance.
- To support organizational control exercises by management.
- To identify the future needs for training and development.
- Offer data to support HR decisions about transfers, promotions, and other matters.
- Clearly state what is expected of personnel and their duties about the tasks they must complete.
- To assess the efficacy of the organization's various human resource operations, including hiring, choosing, training, and development.
- To lower the number of employee complaints.
- Promotes improved relationships and communication between managers and staff, as well as between superiors and subordinates.

CLASSIFICATIONS

Three unique categories can be used to categorize performance appraisals:

1. **Evaluation of performance:** It has to do with the requirement to raise individual performance levels, which raises organizational efficacy overall.
2. **Possible evaluation:** It makes an effort to address the issue of projecting an individual's future work capacity, both in terms of volume and kind of labor.
3. **Review of rewards:** The distribution of incentives, such as income, authority, position, etc., is related to reward review. A yearly review by a department head or section officer is commonly used for performance appraisals, which evaluate employees' value to the company in order to determine their effectiveness, prospects for advancement, and wage scale placement.

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ELEMENTS OF AN EFFECTIVE PERFORMANCE REVIEW

- The basis for the appraisal should be a standard.
- The employee should be involved in the standard's creation.
- The employee has to be aware of the standard beforehand.
- The worker needs to be aware of the sources of the information used in the appraisal.
- The person making the appraisal ought to have seen the employee at work.
- The employee should appreciate and trust the appraiser.

THE PERFORMANCE APPRAISAL PROCESS

Performance appraisal procedures are as follows **(Fig. 13.1)**.

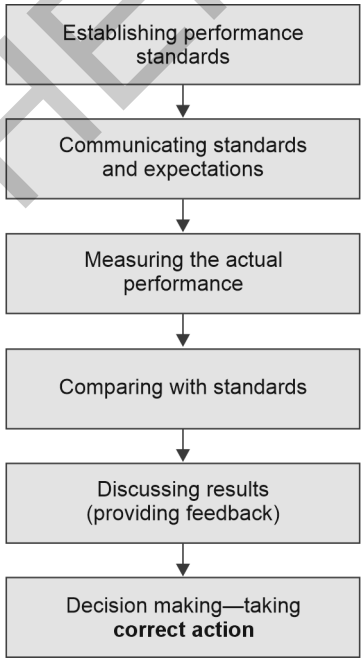

Fig. 13.1: Performance appraisal procedure.

Establishing Performance Standards

Establishing the standards that will serve as the foundation for comparing the employees' actual performance is the first stage in the performance appraisal process. Setting the standards for determining whether an employee's performance is successful or unsuccessful, as well as the extent to which they contribute to the aims and objectives of the organization, is necessary for this phase. The standards that are established ought to be precise, comprehensible, and quantifiable. If an employee's performance cannot be quantified, much care must be taken in defining the standards.

Communicating Standards and Expectations

After standards are established, it is the management's duty to inform every employee of the company regarding the established standards.

It is important to inform and provide a clear explanation of the standards to the staff. They will be better able to comprehend their responsibilities and what is expected of them as a result. The standards ought to be conveyed to the appraisers or evaluators as well. If necessary, the criteria may also be changed at this point in response to pertinent input from the staff members or evaluators.

Measuring the Actual Performance

Measuring an employee's actual performance—that is, the work they have completed within a certain period of time—is the most challenging aspect of the performance review process. It is an ongoing procedure that entails tracking the results all year long. This phase calls for the careful selection of the most appropriate assessment techniques, ensuring that personal bias does not influence the process's conclusion, and offering support rather than getting in the way of an employee's job.

Evaluating and Comparing the Desired and Actual Performance

The intended or standard performance is contrasted with the actual performance. The comparison reveals how the employees' performance deviates from the established benchmarks. The outcome may indicate that actual performance is below desired performance, indicating a negative variance in organizational performance, or it may indicate that actual performance is higher than wanted performance. It entails looking back on, assessing, and analyzing performance-related data for the personnel.

Discussing about the Outcomes/Results

The outcomes of the evaluation are shared and discussed one-on-one with the staff members. This conversation is centered on listening and communicating. In order to solve issues and come to a consensus, the outcomes, issues, and potential solutions are discussed. Positive attitudes when providing feedback are important because they can impact the employees' future performance. The meeting's goals should be to resolve issues and inspire staff to work more productively.

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Making Decisions

Making decisions is the final stage of the process. These decisions can be made in relation to HR matters, such as transfers, promotions, demotions, and awards, or they can be made to help the employees perform better.

COMPONENTS OF SUCCESSFUL PERFORMANCE APPRAISAL SYSTEM

The following components are necessary for a successful performance system.

Record-keeping

Continuously noticing and recording the performance is referred to as documentation. Giving evidence and the rationale for their evaluations is also helpful to the assessors.

Criteria/Objectives

The criteria should be precise, simple to comprehend, attainable, inspiring, time-bound, and quantifiable.

Format: Easy to Use and Practical

The format for the appraisal should be straightforward, impartial, and objective. Long and complex formats take a lot of time to read, are hard to understand, and do not yield a lot of helpful information.

Method of Evaluation

The selection of an effective evaluation technique and a unified, performance-based appraisal system are crucial. The employee's conduct should be measured and observable in order to establish the evaluation criterion.

Interaction

An essential component of the performance appraisal process is communication. Both the employees and the evaluators should be informed about the desired behavior or the anticipated results. A crucial component of the review or feedback meeting is communication. Employee participation in the appraisal process is encouraged by an open communication system.

Reactions

Feedback should have a growth goal rather than a judging one. Feedback must be given to employees on time and in a way that will motivate them to perform better in the future in order for it to continue being useful.

Individual Prejudice

Decisions and evaluations made during the performance review process might be influenced by interpersonal interactions. As a result, the evaluators need to be properly trained to conduct appraisals in an impartial and efficient manner.

TECHNIQUES FOR APPRAISING PERFORMANCE

- Methods of ranking
- The method of rating scales
- Man-to-man comparative technique
- The grading system
- The use of forced distribution
- Inventory
- The critical incident approach
- The method of forced choice
- The approach of field review
- Private document
- Essential job specifications

Methods of Ranking

Instead of being evaluated on an individual basis for their attributes, subordinates are graded overall based on how well they do their jobs under the ranking method of performance appraisal. The richest person is ranked last, and the best person is ranked first in this manner.

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Method of Rating Scale

The rating scale is not limited to indicating whether desirable behavior is present or absent. It notes both qualitative and quantitative abilities and places the behavior at a position on a continuum. Typically, the numerical rating scale consists of numbers that are used to compare behaviors to lists:

- **Observing business hours:** 1 2 3 4 5
- **Capacity to get along with people:** 1 2 3 4 5
- Give the employee a rating on the following items. The values of the responses are as follows:
  - 1 = Never
  - 2 = Occasionally
  - 3 = Roughly 50% of the time
  - 4 = Typically
  - 5 = Invariably

  An illustration of a rating scale is given in **Figure 13.2**.

Man-to-Man Comparative Technique

This approach chooses specific personal characteristics for study, such as initiative, reliability, leadership, sincerity, etc. We establish a scale for each factor. The factors chosen for analysis purposes serve as the foundation for comparison. This approach has little application when assessing people, despite being highly helpful when measuring jobs.

For instance, see **Table 13.1**.

Assessment and Grading System

With this appraisal approach, individuals are categorized into predetermined worth groups and assigned a score based on their assessed worth. As an illustration, grades can be classified as exceptional, satisfactory, or subpar.

Method of Forced Distribution

Using this approach, the employees' performance is evaluated as a whole rather than for each characteristic. With this procedure, the rater must divide his ratings according to a predefined distribution.

For instance: If 10 employees performed the identical task, they would be categorized as follows: Superior (10%), above average (20%), average (40%), below average (20%), and poor (10%).

This approach reduces the rater's prejudice while being simple to administer and comprehend.

Checklist of Items/Inventory

Using this approach, the rater only notifies the personnel department about the employee's performance rather than evaluating it. The rater is given a series of checklist-style questions about the employee and his behavior. He must mark his responses to the questions by placing a checkmark in the corresponding column **(Box 13.1)**.

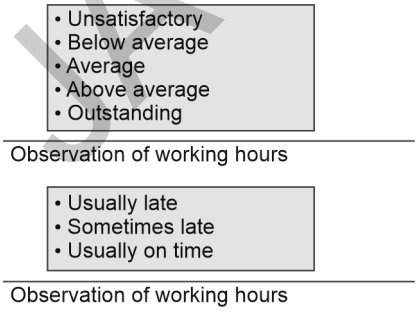

Fig. 13.2: Examples of rating scale.

TABLE 13.1: Nurse to nurse comparison scale.

	Observation of working hours				
Nurse	***Lowest (1)***	***Below average (2)***	***Average (3)***	***Above average (4)***	***Highest (5)***
Asha	X				
Arunthati	X				
Roshini	X				
Saranya	X				
Zeyera	X				

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BOX 13.1: Sample of checklist to evaluate program of field.

Name..... Position .....

Date..... Department.....

List of behaviors: Satisfactory Non-satisfactory

1. **Knowledge**
   - Clinical knowledge
   - Nursing care needs
   - Teaching
   - Guiding and supervision
   - Communication
   - Leadership
   - Reports and records
2. **Attitude**
   - Initiative
   - Dependability
   - Commanding
   - Teaching spirit
   - Reaction to supervisor
   - Professional ethics

Remarks..... **Signature of Head**

BOX 13.2: A sample of report.

Name.....

Designation and present duties.....

Service with the company .....

Age.....

Qualifications.....

Present scale and salary.....

Next increment date .....

Date Manager

Review date Director

Final review data Committee of management

For example:

	Yes	No
1. Is he considering taking the job?	[ ]	[ ]
2. Does he carry out instructions?	[ ]	[ ]
3. Does he exercise self-initiative?	[ ]	[ ]

Method of Critical Incidents

An employee's performance is evaluated based on events or situations that may or may not have occurred. Here are a few instances of these kinds of occasions or incidents:

- Refused to work together with coworkers.
- Disapproved of receiving additional training.
- Gets furious or agitated about their jobs.

Method of Forced Choice

Using this approach, the rater must decide between statements that describe the subject of the question and descriptions of similar value. The personnel department is tasked with scoring using this system, not the supervisor. This approach is especially employed to try to keep the rater's prejudices and biases at bay.

Method of Field Review

Using this approach, supervisors are interviewed about their respective subordinates by a personnel department employee who has received training. The boss is asked about his assessment of his employees' work, development, and other aspects.

This approach seems to address several of the shortcomings of several previous appraisal techniques, making it beneficial for sizable companies with a big workforce.

Confidential Report/Private Document

The promotion or transfer of a subordinate is still mostly determined by a secret report from the direct superiors. Every business has a different format and style for this report **(Box 13.2)**.

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Essential Job Requirements

Using this approach, the first step is to list the essential requirements for each profession that are necessary to succeed or fail in the workplace.

BARRIERS TO AN EFFICIENT APPRAISAL SYSTEM

Despite being quite popular, personnel assessments are known to contain flaws and restrictions. Certain obstacles hinder the efficacy of the evaluation system, even in cases when the procedure prioritizes appraisal over counseling. To reduce their influence on the appraisal system, these obstacles must be identified.

The following are some of the main obstacles to efficient appraisal programs:

- Improper presumptions
- Blocks in psychology
- A technical hazard

Improper Presumptions

The incorrect presumptions made by the involved parties—the superior and his subordinate in the assessment system. It is not objectively or correctly operating.

These presumptions undermine an appraisal system in the ways listed below:

- It is unrealistic to assume that managers automatically have the ability to evaluate subordinates fairly and accurately. Formal appraisal procedures are something that both bosses and subordinates tend to shy away from, even if they are necessary for their respective jobs. Their organizational responsibilities, psychological traits, technical shortcomings, and careless administration of appraisal policies and processes all contribute to their assistance.
- A further mistaken belief is that managers believe a given evaluation method to be flawless and believe that once a program is started, it will never end. They put too much stock in it, depend too much on it, and hold it responsible for their outcomes.
- Managers occasionally believe that an informal assessment is preferable to a formal one, and they seldom utilize systematic processes for appraisal and review.
- It is untrue for managers to assume that staff members want to know straight forwardly where they stand and what their superiors think of them.

Blocks in Psychology

Any tool's usefulness, including performance reviews, mostly depends on the user's abilities. As a result, regardless of the methodology, the value of performance reviews is dependent on the psychological traits of managers. There exist multiple psychological obstacles that impede the efficacy of an evaluation system.

Technical Difficulties/Hazard

Psychologists have given performance appraisal form design with a great deal of thought, yet there is still a challenge with establishing appropriate criteria. The most subjective methods of appraisal are those that only measure performance in the broadest sense. There are two basic groups of technical challenges in assessment. The flaws in the criteria and distortions that lessen the reliability of outcomes.

TECHNIQUES TO GUARANTEE ACCURACY IN PERFORMANCE APPRAISALS

- Awareness of one's own biases and prejudices should be developed.
- Make the proper consultations.
- Accumulate sufficient data over time.
- Throughout the appraisal period, maintain accurate anecdotal records.
- Compile statistics on successes and areas that want improvement.
- Include the employee's evaluation of their own work.
- Be on the lookout for the Matthew, horns, central tendency trap, and halo effects.

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THE LEGAL REPERCUSSIONS OF PERFORMANCE EVALUATION

Employers are required to document the equality of employee performance before making decisions about selection, training, transfer, retention, and promotion. This is required by the Equal Pay Act of 1963, which forbids paying employees of one gender at a different rate than employees of the other gender for the same work; the Civil Rights Act of 1964, which forbids discrimination on the basis of race, color, religion, gender, or national origin; and the Age Discrimination in Employment Act of 1967, which forbids discrimination against persons 40–70 years of age.

- Job analysis ought to serve as the foundation for performance reviews' most legally sound content.
- Rather of being universal, it should be job-related, objective, verifiable, and specialized.
- Personal characteristics like attitudes should not be assessed.
- It is imperative to inform people on performance standards, performance results, the appeals process, and antidiscrimination laws.
- Written guidelines on how to conduct an objective appraisal should be provided to raters.
- Having many raters is preferable.
- Before making a decision to terminate someone, a thorough written record of all the facts should be gathered, including evaluations, counseling regarding performance deficiencies, and techniques used as corrective measures.
  Examples of performance appraisal documentation form and reports are given in **Box 13.3** and **13.4**.

PERFORMANCE APPRAISAL BENEFITS

- **Motivation and contentment:** Employees receive acknowledgment for their accomplishments at work through performance appraisals. It has long been known that social acknowledgment has great motivating power. There is evidence to suggest that people would even choose negative acknowledgment than none at all.
- **Education and training:** A good opportunity to identify and agree upon individual training and development needs between a supervisor and subordinate is provided by performance appraisals, possibly the best one that will ever come around.

  Training needs can be made more urgent and pertinent by performance appraisal, which establishes a clear connection between training objectives and desired future careers.
- **Hiring and orientation:** Data from appraisals can be used to track how well the company's hiring and onboarding procedures are working. Data from appraisals can also be utilized to track how well modified recruitment tactics are working.
- **Employee assessment:** Evaluation is a genuine and important goal of performance appraisal, despite the fact that it is sometimes downplayed or even rejected.

BOX 13.3: Performance appraisal documentation form.

Performance appraisal for: .....

Name .....

Unit .....

Prepared by .....

Reason (merit, terminal, end of probation, general reviews) .....

Date of appraisal conference.....

Comments by employee .....

Employee's signature:

(Signature of employee denotes that the appraisal has been read. It does not signify acceptance or agreement. Space is provided for any comments the employee wishes to make.)

Comments by appraiser.....

(These comments are to be written at the time of the appraisal conference and in the presence of the employee)

Evaluator's signature:

Employee's signature (date) Evaluator's signature (date)

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BOX 13.4: Staff nurses' and ward sisters'/masters' performance reports.

1. Your name in capital letters.....
2. For the calendar year .....
3. Appointment.....
4. The date of the current position's appointment.....
5. The date this was uploaded at this organization .....
6. Does she/he have any conditions that would make them unfit for their current responsibilities or those that would make them unfit after being promoted to a higher grade? .....
7. Does she/he have any unique training or experience that might help her/him with any particular responsibilities? .....
8. Comment on the following that you feel is appropriate for her/him:
   a. Timeliness
   b. Skillful in interacting with health team members
   c. The ability to organize and manage
   d. Does she take patient care?
   e. Management of medical supplies and equipment
   f. Sustaining professional expertise and knowledge
   g. Taking part in extracurricular pursuits
   h. Performing tasks mindfully
   i. Perception of nursing
   j. Self-control
9. Integrity nothing that I am aware of which results in any integrity reflection .....
10. Capacity for teaching.....
11. Fit for promotion .....
12. Confirmed yet or not .....
13. Special remark to justify Sl. No.11 .....

Countersigned

Date .....

Office seal

Conference with the nurse for improvement .....

Summary .....

Discussion .....

Signature of Nursing Superintendent

Performance reviews serve as a source of support data for managerial choices on pay scales, merit raises, choosing suitable candidates for positions of employment, promotion, or transfer, and demoting or terminating underwhelming staff members. Additionally, they operate as a confirmation of employment tests and a check on hiring and recruitment procedures.

CONCLUSION

Performance appraisal in nursing management is a vital process that assesses the effectiveness and contributions of nursing staff. Through regular evaluations, managers can identify individual strengths, areas for improvement, and professional development needs. This structured feedback mechanism not only promotes accountability but also fosters a culture of continuous learning and improvement. By incorporating self-assessments, peer reviews, and patient feedback, performance appraisals can provide a comprehensive view of a nurse's competencies and impact on patient care. Furthermore, these evaluations can guide career advancement opportunities, enhance job satisfaction, and ultimately contribute to better patient outcomes by ensuring that nurses are supported in their professional growth and aligned with organizational goals.

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REVIEW QUESTIONS

Essay

1. Describe the system for performance appraisal.
2. Describe the process of performance reviews.
3. Describe the different approaches taken in performance evaluation.

Short Answers

1. The advantages of performance reviews.
2. Implications of performance reviews for the law.
3. Goals and objectives of performance reviews.
4. Types of performance appraisal.
5. Barriers to effective performance appraisal.

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Comprehensive Textbook of Nursing Administration and Ward Management

The idea for the first edition of this book occurred many years ago when I was taking class first time for postgraduate students' Nursing Management and Administration. I came across various books regarding this subject and found that the content was good for some specific topic in some specific books. Therefore, I decided at that time that I would like to produce a book that would encompass nearly all the topics relevant to the Nursing Management and Administration in one book itself. It will be easy to carry and refer one book for all type of content. The first edition of this book was published in 2010, 15 years ago. Consistent with the times, the focus was on the hospital, and it was organized to include sections on departmental operations, as well as one encompassing the functional/technical areas pertaining to hospitals in general. It included sections on information systems, infection control, records and reports, among others. The second edition of the text was modified as a result of major regulatory, delivery system, and technological changes. In addition, trends toward managed care and the acquisition of practices necessitated the inclusion of several entirely new chapters on topics such as trends and issues, theories and models, nursing informatics, financial management, health insurance, and health economics. In light of the fact that many graduate programs in healthcare administration use this book, the revisions in that edition added more technical detail to give students a complete understanding of information systems, and other topics. The second edition recognized the emergence healthcare management services and its application. This book consists of total 11 units with 42 chapters and detailed contents as per INC syllabus. It carries all the information's in one book. Wherever needed the content was explained with flowcharts, diagrams, boxes, tables, etc. for better understanding of readers.

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