

**National Sample Transport System (NSTS)**

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Quality ASSURANCE UNIT

Title: **SOP FOR EMPLOYEE PERFORMANCE APPRAISAL**

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Written By: **NSTS Manager**

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1. **Purpose**

The performance of all employees of the laboratory must be assessed regularly to ensure and record that everybody performs according to expectation. This way also potential problems are detected in an early stage, preventing bigger problems later on.

1. **Scope**

It involves not only assessment of technical competency, but also observation of adherence of staff members to safety rules, punctuality, adherence to policies, communication skills (including communication to customers), and professional behavior.

1. **Responsibilities**

**NSTS Manager**

1. Perform performance appraisals for all the staff members according to the procedures described in the SOP.
2. Record the findings of the performance appraisal and discuss these with the staff member that was assessed. Discussion with a staff member is done in a tactful way as staff members may find it difficult to deal with criticism. The goal of this conversation is to find the root cause behind performance. The NSTS manager will develop together with the staff member a good approach to eliminate the root causes and improve performance.
3. Make reports of the findings of the assessments and conclusion of discussions of the findings. Describe both positive and negative findings and the root causes of the negative findings. Describe the strategy to eliminate the root causes of poor performance.
4. If the NSTS manager identifies any training needs: It is the responsibility of the manager to find an appropriate training and search for funds to send this staff member to the desired training.
5. Store the report of performance appraisals in the *Personnel File* of the staff member.
6. **Performance Appraisal Procedure**
7. **Periodic Appraisal**

Employees should have a periodic formal appraisal of their overall performance. This is broader than competency assessment and includes the following elements:

* Technical competency
* Efficiency
* Adherence to policies
* Observance of safety rules
* Communication skills
* Customer service
* Punctuality
* Professional behavior

1. **Possible causes of Poor Performance**

Poor performance may not always be due to technical incompetence. Performance may be affected by:

* Distractions—especially personal issues such as a sick child or parent, or financial problems, which can make the employee’s concentration difficult
* Excessive workloads that pressure or hurry the employee, which may cause them to inadvertently make errors
* Insufficient initial orientation or training
* Resistance to change—some people may not want to use new procedures (“We’ve always done it this way, why change?”).

**The following factors could also contribute to poor results performance.**

* Compromised sample—the phlebotomist may or may not know that the sample was put in wrong preservative or was improperly stored.
* Absence of SOPs or failure to update them—test kits may come with modified manufacturer’s instructions, and these modifications need to be reflected in the SOPs.
* Poorly written procedures—including omitting certain steps, the wrong sequence of steps, or incorrect sample or reagent quantities—can cause very serious errors and should always be suspected when several employees obtain erroneous results.
* Job descriptions that are not clear may be a source of error—for example, confusion about who has responsibility for calibrating an instrument could result in the calibration not being done, causing erroneous results.

1. **Performance Evaluation Documents**
2. A copy of the appraisal shall be given to the Employee and the original document shall be placed on the Employee’s personnel file.
3. Access to performance evaluation records shall be restricted to:

* The Employee whose performance is appraised
* The Employee's supervisor
* The Chief Laboratory Technologist
* Human Resources Manager

1. **Appraisal Process**

Supervisors are expected to track when their employee’s performance evaluations are due, which they can confirm with Human Resources at any time. In the case that an employee is transferred to a different department, the most recent supervisor must do a performance evaluation on the Employee’s performance since the last review period to the date of transfer. The new supervisor will then complete the Employee’s performance evaluation on its original due date, adding the documentation from the previous supervisor’s evaluation.

1. **Penalties**

All NSTS employees are expected to perform their job duties at a consistently high level. In the event that any NSTS employee fails to fulfill his/her specified levels of service he/she may be subject to a review of his/her performance and participate in a required Performance Improvement Plan (PIP) that uses SMART goals. In the event that an employee is subject to disciplinary action as a result of their failure to meet performance expectations, NSTS will follow progressive disciplinary steps. However, in the event of a flagrant violation or serious offence, the Employee may be terminated immediately and progressive discipline may be superseded.

1. **Related Documents**

Employee personal files

1. **References**

Laboratory Quality Management System Performance Appraisal https://extranet.who.int/lqsi/sites/default/files/attachedfiles/LQMS%2012-5%20Performance%20appraisal.pdf