



Standard Operating Procedures

9 Block Performance Evaluation

SOP0006 V3

August 2020

Standard Operating Procedure

9 Block Performance Evaluation

Background

Performance Management in organizations is a critical skill for Leaders and is a process that is highly impactful on overall organizational results. For people to do their best, they need to know what is expected of them, and receive regular feedback on how they are doing.

Although most performance evaluation systems are formally conducted once per year, there is no need to limit such a key process to an annual review period. For those organizations who do conduct reviews at greater frequency, the improved communication and feedback is beneficial in keeping people on track and improving overall organizational results.

9 Block Performance Reviews

Originally introduced by General Electric, 9 Block performance reviews are a simple, yet effective means of conducting the performance evaluation review process. The template is also useful in displaying the overall performance levels of teams, showing how each individual falls within the 9 Block framework. This can be particularly beneficial when looking for high potential candidates to fill future key roles.

From an individual performance evaluation standpoint, there are a few key features of the 9 Block process that enhance the processes value for organizations:

1. It is quick and easy to implement, and not heavy on administrative documentation.

2. It is collaborative, in that the employees review themselves prior to setting down with the leader. This encourages two-way communication and improves buy-in for the process.
3. It focuses on two primary dimensions: the results achieved, and the behaviours demonstrated to achieve those results. In this regard, it is much more holistic than alternative review systems.
4. It is focused on what the objectives were, how the individual performed with regards to the objectives, what the next objectives will be, and employee interests/professional development opportunities.

As with any system, the important thing is the discussion, not the document, although documentation is an important part of any performance management system.

Standard Operating Procedure

1. Print a hard copy of the form, and the standard operating procedure, for review with the candidate being evaluated. Print on two pages, not double-sided.
2. Explain to the employee how the process works, why the organization has such a process, and the benefits to the employee and to the organization. Answer any questions the employee has with regards to the process.
3. Have the employee take the form away, and give them adequate time (ex, a week) to reflect on their performance over the past review period, and to fill in the form as to how they would evaluate themselves.
4. Schedule a review meeting in advance, giving the employee sufficient time to be prepared.

5. Have the employee review their evaluation notes, and once they are done, discuss why and how they reached those ratings.
6. As a coach, the Leader then comments on each of the sections of the 9 Block, giving open and honest feedback on how they would rate the employee.
7. Through further discussion, come to an agreement on the final ratings on the review. If an agreement cannot be reached, the Leader's rating is the one that is finalized, although the employee's views are also documented on the sheet.
8. Finally, make sure the interests and development plans section is filled in as well.
9. The final 9 Block rating is indicated in the 9 Block diagram at the top of the form by putting a X in the appropriate box.
10. The Leader then keeps a copy of the 9 Block form used for the evaluation session, and over the next week or so, completes a clean copy summarizing all of the pertinent points.
11. A final review session is scheduled with the employee, and once completed, both the Leader and the employee sign the document. If the employee refuses to sign, the Leader writes "refused to sign" in the space where the employee's signature would go.
12. A copy of the finalized review should be given to the employee, and a copy (or copies) filed per company policy.

Outcomes

Having a robust, regularly conducted performance evaluation system for employees, is an important tool to communicate performance expectations, and to measure current performance against those expectations. This communication tool is key to managing and improving overall organizational performance and allows for the people within the organization to maximize the value they contribute to overall levels of performance.

Sample 9 Block Performance Evaluation

Please see the following page.

Download the Form at: <https://ssiconsulting.ca/free-tools/>

9 Block Performance Evaluation

Please refer to Standard Operating Procedures SOP0006 – 9 Block Performance Evaluation at <https://ssiconsulting.ca/free-tools/> for instructions and a completed sample.

Company Name	ABC Company
Department	Sales
Employee Name	Marshall Artz

Date	2020-08-16
Manager	Marcy Darcy
Position	Inside Sales

Final Nine Block Score

The final rating is to be entered in the block to the left, by the manager, after the review with the employee.

	A	B	C
1			
2			X
3			

Rating Scales

Results	
1	Excellent results
2	Fully satisfactory results
3	Results need to improve

Leadership	
A	Excellent leadership
B	Fully satisfactory leadership
C	Leadership needs to improve

1. Accomplishment Summary

Employee	Summarize your 3-5 key accomplishments for 2020. State objectives attained, goals, measurements (Most Important Goals). Use back of page if needed.
1	Hit sales targets in March & May. Achieved 95% of targets in Jan, Feb. Hit 80% in April.
2	Exceeded targets by 20% in June and by 10% in Jul.
3	Trained 4 new sales people in June & Jul and their sales are doing better than expected.
4	
5	

Self-Rating by Employee using scales above: Results **2** Leadership **B**

Coach's View	Input and Rating of Employee's Performance
Marshall has done well in more recent months. Targets have been exceeded. More focus and attention to process in more recent months are paying off. Trained 1 person in June and 3 people in July. I believe the 3 people negatively impacted Marshall's performance in July. 1 or 2 per month is more reasonable.	
I have observed and received reports from others of a condescending attitude towards trainees. Marshall and I have spoken about this and I believe leadership coaching would be helpful if his role in training is to continue.	

Coach's Rating using scales above: Results **2** Leadership **C**

9 Block Performance Evaluation

Company Name	<i>ABC Company</i>
Department	<i>Sales</i>
Employee Name	<i>Marshall Artz</i>

Date	<i>2020-08-16</i>
Manager	<i>Marcy Darcy</i>
Position	<i>Inside Sales</i>

2. Strengths Development Needs & Action Plans

Employee	Identify skills and leadership traits, which are your strengths and those you would like to develop further. Identify 1 or 2 development actions you will take.
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3 Top Strength	3 Top Areas to Improve; skills, leadership, results experience.	ACTION PLANS (On Improvement)
1 <i>Intelligence</i>	1 <i>Leadership</i>	1 <i>Take a Leadership course</i>
2 <i>Communication skills</i>	2 <i>Intolerance of people that don't pay attention.</i>	2 <i>Learn to be less judgemental about other's deficiencies.</i>
3 <i>Persistence</i>	3 <i>Submitting reports</i>	3 <i>Block time to complete and submit reports</i>

Coach's Comments	Strengths and Areas to Improve
<i>I agree with Marshall's view on leadership and have recommended we enroll him in leadership training that focuses on interpersonal relationships and leadership attitude. Marshall does have strong communication skills when dealing with prospects and clients. Agree with the plan for submitting reports on time!</i>	

3. Development & interest

Employee	Only if interested in a job change, list preferences, timing, longer-term interests, and geographic flexibility.
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I would like to become a team leader as long as I can still make commission.

Coach's Input	If a change is appropriate, identify alternative including cross-functional and timing. Discuss your view of employee's career path.
<i>Team leader is a possibility pending the results of the leadership training. However, High performing sales reps earn higher income than top-performing team leaders.</i>	

Discussion Sign-off

2020-08-31
Date of Discussion
www.ssiconsulting.ca

Marshall Artz
Employee Signature
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Marcy Darcy
Manager Signature
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