

Supervisor's Performance Management Toolkit



About this Material

This toolkit includes a number of tools for supervisors to use as a reference guide when working with the Performance Management Process

There are a number of sections that explain the Performance Management Process and contain tools that will help you understand your responsibilities in the process.

There is a separate section to be used with employees. Please use these documents to educate your employees about the process. It also provides tools your employees can use for their responsibilities within the process.

FAQ's and a Glossary of Terms are included as reference material.

Table of Contents

• The Performance Management Process	5
— Explanation of Performance Management Forms	6
— Sample Performance Management Planning and Review Forms:	
Performance Planning and Review Form	8
Performance Management Log	15
Performance Management Progress review Form	17
Performance Management Employee Self Appraisal Form	18
Sample Completed Planning and Review Form	20
— Universal Performance Dimensions	29
— Job Specific Competencies	32
• Performance Planning	37
— Job Duties	38
— Job Outcomes	40
— Building a Development Plan	41
— The Performance Planning Meeting	45
— Coaching & Feedback	47
— Asking for, Receiving, and Giving Feedback	48
— Preparing for Difficult Coaching Situations	51
• Performance Review	55
— Tips for Preparing for and Conducting the Performance Review	56
— Tips for Performance Review	58
• APPENDIX	60
— FAQs	61
— Human Resources Development General Professional Development Course Offerings in Support of the Performance Management System	64
— Glossary of Terms	66
• Performance Management Employee Education Materials	67
— Performance Management Process	68
– Performance Management Model	69
– What & How of New Performance Management System	70
– What’s Changing – New Performance Management Form	71
– Performance Management Process – Roles and Responsibilities	72
– Rating Scales	73
– Explanation of Forms	74
— Sample Performance Management Forms	76
– Performance Planning – Roles and Responsibilities	98
– Performance Planning Process	99
– Universal Performance Dimensions	100
– Job Specific Competencies	101

– Building a Development Plan	102
— Coaching & Feedback – Roles and Responsibilities	107
– Coaching & Feedback Process	108
– Employee Tips – Asking for Feedback	109
– Employee Tips – Tracking Personal Progress	110
— Performance Review – Roles and Responsibilities	113
– Performance Review Process	114
– Self Assessment Tips	115
– Employee Tips – Receiving Feedback	117

The Performance Management Process

-
1. The Performance Management Process
 - A. Explanation of Performance Management Forms
 - B. Sample Performance Management Forms
 - C. Universal Performance Dimensions
 - D. Job Specific Competencies

Explanation of Performance Management Forms

The following section describes four performance management forms, as well as the instructions for completion of the forms. These forms are:

- Performance Management Planning and Review Form
- Performance Management Log
- Performance Management Progress Review Form
- Performance Management Self Appraisal

Instructions for Form Completion

Basic Overview of New Forms

There are four forms included in the new performance management system. Each form is described below.

Performance Management Planning and Review Form

This is a two-part form. The performance planning and development planning portions of the form are completed at the beginning of the performance management cycle. Performance planning will take place at the start of the calendar year. Performance plans should be created for the following content areas: Job Duties, Universal Performance Dimensions and Job-Specific Competencies. Employees will be rated on how well they accomplished the outcomes listed in their performance plan at the end of the performance management cycle.

Development planning will also take place at the start of the calendar year. Development plans should be created for the following areas: Job Duties, Universal Performance Dimensions, Job-Specific Competencies, and any additional developmental areas that need to be addressed. Each developmental area will be created with a target implementation date.

The supervisor and employee will sign-off when the performance planning and development plans have been created.

Throughout the year each employee should strive to complete the outcomes listed in their performance plan.

The review portion of the form will be completed at the end of the performance management cycle, at the end of the calendar year. Each Job Duty, Universal Performance Dimension, and Job-Specific Competency will be rated by the supervisor. The form will be completed by the supervisor, approved by the second-level supervisor, and reviewed with the employee by the supervisor.

Performance Management Log

This form can be used *throughout* the performance year by either employee or supervisor to write down any achievements or demonstrations in the Job Duties, Universal Performance Dimensions, and Job-Specific Competencies.

Completion of this form is optional.

Performance Management Progress Review Form

This form can be initiated by either the employee or the supervisor *at any time* and is to be used as a tool between the supervisor and employee to discuss performance expectations.

Contents of this form include:

- Identification of accomplishments on performance/objectives identified during performance planning;
- Identification of areas where assistance is needed; and
- Identification of activities planned to help improve performance.

Use of this form is optional.

Performance Management Employee Self Appraisal Form

This form can be used to gather input from the employee *prior to review* of the annual performance appraisal and to assist in the performance appraisal discussion.

Use of this form is optional.

Auburn University

Performance Management Planning and Review Form



Employee Name*		
Department*		
Is Employee in a Job Family?		

EEID#* _____ Job Title* _____ Rating Period (year) _____

Supervisor* _____ Supervisor ID#* _____

I Job Duties

During Planning: Select 3–7 job duties that describe the most important activities or accountabilities in this job this year. The duties listed must be job related. For each, write the desired outcome. The outcome should describe what is expected of any competent, qualified person working in the position.

During Review: Supervisors rate each job duty and complete the comments section for each expectation.

Rating: Supervisors should choose from the following ratings:

Leading Performance – Exceeds targets; Performance surpasses requirements; Work serves as an example for others

Strong Performance – Meets targets; Consistently demonstrates solid performance

Building Performance – Near targets; Inconsistently demonstrates satisfactory performance; Additional experience/development would be beneficial

Improvement Essential – Misses targets; Performance fails to meet required levels; Additional experience/development is necessary.

Job Duties*	Outcome*	Rating
1.		
Supervisor Performance		
2.		
Supervisor Performance Comments:		

Job duties and outcomes are completed at the beginning of the PM cycle.

Ratings and supervisor comments are completed at the end of the PM cycle.

*Filled out at start of year

Job Duties*	Outcome*	Rating
-------------	----------	--------

3.

Supervisor Performance Comments:

4.

Supervisor Performance Comments:

5.

Supervisor Performance Comments:

6.

Supervisor Performance Comments:

7.

Supervisor Performance Comments:

*Filled out at start of year

Development Plan for Job Duties

During Planning: Enter any development needs in the area of job duties.

During Review: Supervisors and employees revisit how the employee has progressed against the development plan and supervisor should complete the comment section.

Job Duties Development Needs*	Action Steps*	Target Implementation Date*
Supervisor Development Comments:		

II Universal Performance Dimensions

During Planning: Review the universal performance dimensions. All employees are responsible for demonstrating these performance dimensions

During Review: Supervisors rate each performance dimension and complete the comments section.

Rating: Supervisors should choose from the following ratings:

Consistent – Consistently demonstrates behaviors representative of universal performance dimension or job-specific competencies; Consistently effective

Inconsistent – Demonstrates behaviors effectively in some, but not all situations; Specific experience/development is necessary.

Universal Performance Dimensions*	Definition*	Rating
1. Teamwork	Establishes and maintains respectful, cooperative, and productive working relationships with co-workers, team members, supervisors, and other members of the university community.	
Supervisor Performance Comments:		
2. Organizational Commitment	Demonstrates a productive work style that is compliant with university and department policies and procedures in support of established goals and objectives.	
Supervisor Performance Comments:		

Universal Performance Dimensions*	Definition*	Rating
3. Stakeholder Focus	Demonstrates concern for satisfying one's external and/or internal stakeholders/customers.	

Supervisor Performance Comments:

4. Diversity Commitment	Seeks to recognize, understand, and respond effectively to similarities and differences in people and makes better decisions based on that understanding. Recognizes and responds to the needs of various groups in the workplace and stakeholders/customers base so as to improve working relationships, productivity, and stakeholder/customer satisfaction.	
-------------------------	--	--

Supervisor Performance Comments:

5. Maintaining a Safe and Secure Work Environment	Committed to maintaining a safe, secure, and non-threatening work environment.	
---	--	--

Supervisor Performance Comments:

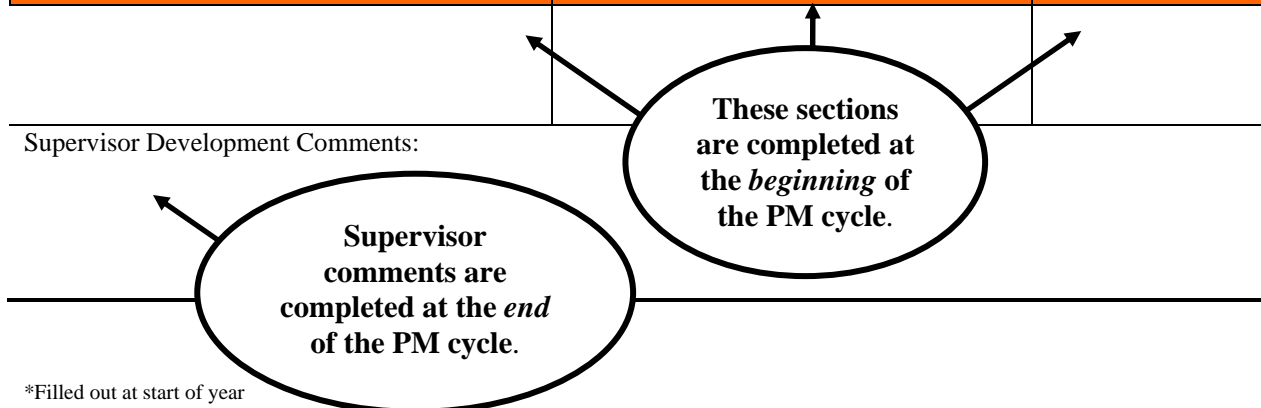
Development Plan for Universal Performance Dimensions

During Planning: Enter any development needs in the area of universal performance dimensions.

During Review: Supervisors and employees revisit how the employee has progressed against the development plan and supervisor should complete the comment section.

Universal Performance Dimensions Development Needs*	Action Steps*	Target Implementation Date*
---	---------------	-----------------------------

Supervisor Development Comments:



*Filled out at start of year

III Job-Specific Competencies

During Planning: Based on the pre-defined competency model, supervisors and employees select the 2–4 competencies that will most impact success in the job for this year.

During Review: Supervisors rate each competency and complete the comments for each competency.

Rating: Supervisors should chose from the following ratings:

Consistent – Consistently demonstrates behaviors representative of universal performance dimension or job-specific competencies; Consistently effective

Inconsistent – Demonstrates behaviors effectively in some, but not all situations; Specific experience/development is necessary

Job-Specific Competency*	Definition*	Rating
1.		
Supervisor Performance Comments:		
2.		
Supervisor Performance Comments:		
3.		
Supervisor Performance Comments:		
4.		
Supervisor Performance Comments:		

These sections are completed at the beginning of the PM cycle.

These sections are completed at the end of the PM cycle.

Development Plan for Job-specific Competencies

During Planning: Enter any development needs in the area of job-specific competencies.

During Review: Supervisors and employees revisit how the employee has progressed against the development plan and supervisor should complete the comment section.

Competencies Development Needs*	Action Steps*	Target Implementation Date*
<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; border-radius: 50%; padding: 10px; text-align: center;"> <p>This section is completed at the <i>end</i> of the PM cycle.</p> </div> <div style="border: 1px solid black; border-radius: 50%; padding: 10px; text-align: center;"> <p>These sections are completed at the <i>beginning</i> of the PM cycle.</p> </div> </div>		
Supervisor Development Comments:		

IV Additional Developmental Needs

During Planning: Enter any additional development needs.

During Review: Supervisors and employees revisit how the employee has progressed against the development plan.

Development Needs*	Action Steps*	Target Implementation Date*
<div style="display: flex; justify-content: space-around; align-items: center;"> <div style="border: 1px solid black; border-radius: 50%; padding: 10px; text-align: center;"> <p>This section is completed at the <i>end</i> of the PM cycle.</p> </div> <div style="border: 1px solid black; border-radius: 50%; padding: 10px; text-align: center;"> <p>These sections are completed at the <i>beginning</i> of the PM cycle.</p> </div> </div>		
Supervisor Development Comments:		

V Overall Rating

Rating: Supervisors should chose from the following ratings:

- Leading Performance – Exceeds targets; Performance surpasses requirements; Work serves as an example for others
- Strong Performance – Meets targets; Consistently demonstrates solid performance
- Building Performance – Near targets; Inconsistently demonstrates satisfactory performance; Additional experience/development would be beneficial
- Improvement Essential – Misses targets; Performance fails to meet required levels; Additional experience/development is necessary.

Supervisor Overall Performance Comments:

This entire section is completed at the *end* of the PM cycle.

Planning Document Created*			Date	
Supervisor Signature			Date	
Employee Signature			Date	
Performance Review Approval Signatures				
Supervisor Signature				
Manager (Second Level Review) Signature				

Supervisor and employee sign at the *beginning* of the PM cycle.

Supervisor and reviewer sign at the *end* of the PM cycle; prior to review with employee.

Performance Review Conducted			
Employee Signature		Date	

My signature indicates that I have discussed the contents of this document with my supervisor. It does not necessarily mean that I agree with the results.

Employee Comments:



Auburn University

Performance Management Log

This form can be used throughout the year by either the employee or the supervisor to write down any achievements, demonstrations, or outcomes in various areas of job performance.

Employee: _____ Supervisor: _____

Job Duties

Job Duties	Achievements / Demonstrations/Outcomes	Date
1.		
2.		
3.		
4.		
5.		
6.		
7.		

Completion of this form is optional.

Universal Performance Dimensions

Universal Performance Dimensions	Achievements / Demonstrations/Outcomes	Date
1.		
2.		
3.		
4.		
5.		

Job-Specific Competencies

Job Specific Competencies	Achievements / Demonstrations/Outcomes	Date
1.		
2.		
3.		
4.		
5.		

Development Progress / Other Needs

Auburn University

Performance Management Progress Review Form



This form can be initiated by either the employee or the supervisor at any time and is to be used as a tool between the supervisor and employee to discuss performance expectations. A copy should be retained by the supervisor and the employee but it does not need to be forwarded to Human Resources. This form, as with any form documenting performance, could become a part of an employee's permanent file.

Employee Name:		Department:	
Supervisor Name:			

Performance Expectations

Briefly discuss any special accomplishments and progress on performance/objectives as identified at the start of the year.

Completion of this form is optional.

Describe Areas Where Assistance Is Needed (if applicable):

--

Activities Planned to Improve Performance (if applicable):

--

Additional Comments:

--

We have met and discussed the progress review.

Employee Signature:		Date:	
Supervisor Signature:		Date:	

Auburn University

Performance Management Employee Self Appraisal Form



This form can be used to gather input from the employee prior to review of the annual performance appraisal and to assist in the performance appraisal review. Use of the form is optional.

Name:		Job Title:	
Department:		Supervisor Name:	
Rating Period:			

Please assess your job performance for the past year:

**Completion
of this form
is optional.**

What do you consider to be your most important accomplishments in the past twelve months?

What challenges made it difficult to meet the performance outcomes?

Assess how you demonstrated the universal performance dimensions?

What additional skills, abilities and behaviors are needed for performance improvement in the coming year?

--

Explain how you met the goals of your development plan for the past year.

--

Please list any special accomplishments, awards, activities, or recognitions:

--

Additional Comments

--

I would like a copy of this form attached to the Performance Appraisal Form and placed in my personnel record in Human Resources:				
	Yes		No	

Signature:		Date:	
-------------------	--	--------------	--

Return this completed form to your Supervisor prior to your formal performance appraisal review.

Sample Performance Management Planning and Review Form

Auburn University

Performance Management Planning and Review Form – SAMPLE



Employee Name*	John Doe	
Department*	Finance	
Is Employee in a Job Family?		

EEID#* 123456 Job Title* Financial Analyst Rating Period (year) 2006
 Job Title* I

Supervisor* Jane Smith Supervisor ID#* 654321

I Job Duties

During Planning: Select 3–7 job duties that describe the most important activities or accountabilities in this job this year. The duties listed must be job related. For each, write the desired outcome. The outcome should describe what is expected of any competent, qualified person working in the position.

During Review: Supervisors rate each job duty and complete the comments section for each expectation.

Rating: Supervisors should choose from the following ratings:

Leading Performance – Exceeds targets; Performance surpasses requirements; Work serves as an example for others

Strong Performance – Meets targets; Consistently demonstrates solid performance

Building Performance – Near targets; Inconsistently demonstrates satisfactory performance; Additional experience/development would be beneficial

Improvement Essential – Misses targets; Performance fails to meet required levels; Additional experience/development is necessary.

Job Duties*	Outcome*	Rating
1. Compiles reports and monitors budget for the department.	Budget spreadsheets accurately reflect expenditures and are kept up-to-date.	Strong Performance

Supervisor Performance Comments:

John has developed new Excel spreadsheets to monitor the departmental budget. He is extremely conscientious in ensuring that all information is properly entered. As a result we can now review our budget at any time.

2. Prepares reconciliation of purchasing card account.	Account is properly balanced by the 30 th of each month.	Leading Performance
--	---	---------------------

Supervisor Performance Comments: John has ensured that the purchasing card account has been properly reconciled each month. He is very good at researching any unusual or questionable transactions and ensures all charges are legitimate and have been properly approved.

Job Duties*	Outcome*	Rating
3. Reconciles financial printouts from the Business Office.	By the end of each month the department accounts are balanced and all discrepancies are resolved with no more than one error per month.	Building Performance

Supervisor Performance Comments:

Over the last year there have been four times (January, March, June, and July) that discrepancies within the departmental budget were not properly resolved. This resulted in confusion regarding the budget and caused others in the department taking time to resolve the issues.

4. Processes bi-weekly and monthly payrolls.	Payrolls are processed on time with no more than one error per quarter.	Leading Performance
--	---	---------------------

Supervisor Performance Comments:

Once again this year John has done an excellent job with this important duty. All payroll information has been processed on time without error.

Development Plan for Job Duties

During Planning: Enter any development needs in the area of job duties.

During Review: Supervisors and employees revisit how the employee has progressed against the development plan and supervisor should complete the comment section.

Job Duties Development Needs*	Action Steps*	Target Implementation Date*
-Review the Business Offices procedures and processes for financial reporting	-Complete Intro to FRS and Intro to Self-Service FRS courses	March 2006
-Identify alternative methods of reconciliation	-“Buddy” with the financial analyst in XXX department -Discuss methods learned with supervisor	Feb 2006 June 2006

Supervisor Development Comments:

John learned some good methods for reconciliation with his “Buddy” from XXX; we were able to implement some of the methods.

II Universal Performance Dimensions

During Planning: Review the universal performance dimensions. All employees are responsible for demonstrating these performance dimensions

During Review: Supervisors rate each performance dimension and complete the comments section.

Rating: Supervisors should chose from the following ratings:

Consistent – Consistently demonstrates behaviors representative of universal performance dimension or job-specific competencies; Consistently effective

Inconsistent – Demonstrates behaviors effectively in some, but not all situations; Specific experience/development is necessary.

Universal Performance Dimensions*	Definition*	Rating
1. Teamwork	Establishes and maintains respectful, cooperative, and productive working relationships with co-workers, team members, supervisors, and other members of the university community.	Inconsistent
Supervisor Performance Comments: John needs to remember that it is OK to ask for help in difficult situations. John has a tendency to try to “put too much on his plate” and then ends up not completing the work.		
2. Organizational Commitment	Demonstrates a productive work style that is compliant with university and department policies and procedures in support of established goals and objectives.	Consistent
Supervisor Performance Comments: John is doing great with organizational commitment. John is aware our departmental goals and objectives and strives to achieve them.		
3. Stakeholder Focus	Demonstrates concern for satisfying one’s external and/or internal stakeholders/customers.	Consistent
Supervisor Performance Comments: John is extremely patient and friendly with all students and parents he comes into contact with.		
4. Diversity Commitment	Seeks to recognize, understand, and respond effectively to similarities and differences in people and makes better decisions based on that understanding. Recognizes and responds to the needs of various groups in the workplace and stakeholders/customers base so as to improve working relationships, productivity, and stakeholder/customer satisfaction.	Consistent
Supervisor Performance Comments: John prides himself in treating all students fairly and equally especially when it comes to fee allocation and collection scheduling.		
5. Maintaining a Safe and Secure Work Environment	Committed to maintaining a safe, secure, and non-threatening work environment.	Consistent
Supervisor Performance Comments: John consistently maintains a safe and secure work environment.		

Development Plan for Universal Performance Dimensions

During Planning: Enter any development needs in the area of universal performance dimensions.

During Review: Supervisors and employees revisit how the employee has progressed against the development plan and supervisor should complete the comment section.

Universal Performance Dimensions Development Needs*	Action Steps*	Target Implementation Date*
Teamwork	-Improve interpersonal communication skills: complete “Interpersonal Communication” course	March 2006
	-Improve ability to conduct meetings: complete “Meeting Skills” course	April 2006
	-Conduct weekly staff planning meeting	June 2006
	Improve interdependent relationships: complete 7 Habits course	August 2006
	Conduct office teamwork exercise	October 2006

Supervisor Development Comments:

John conducted several of our budget close-out meetings in September and October and is beginning to develop stronger trust relationships within the team.

III Job-Specific Competencies

During Planning: Based on the pre-defined competency model, supervisors and employees select the 2–4 competencies that will most impact success in the job for this year.

During Review: Supervisors rate each competency and complete the comments for each competency.

Rating: Supervisors should chose from the following ratings:

Consistent – Consistently demonstrates behaviors representative of universal performance dimension or job-specific competencies; Consistently effective

Inconsistent – Demonstrates behaviors effectively in some, but not all situations; Specific experience/development is necessary

Job-Specific Competency*	Definition*	Rating
1. Effective Communications	Ensures information is effectively exchanged with others.	Inconsistent

Supervisor Performance Comments:

John needs to make sure he communicates with coworkers/supervisor when he needs assistance. Sometimes he lets a problem get out of hand before asking for assistance.

Job-Specific Competency*	Definition*	Rating
2. Self-management	Takes responsibility for one's own performance.	Inconsistent

Supervisor Performance Comments:

John needs to be involved in his career. He should not be afraid to ask supervisor for guidance and feedback. He needs to make sure to ask for resources and/or support in order to complete his job accurately.

3. Technical Expertise	Demonstrates depth of knowledge and skill necessary for the job.	Consistent
------------------------	--	------------

Supervisor Performance Comments:

Because John is fairly new to the position, he was not proficient in running all of the software. John worked hard to follow the action plan outline below. His skills have improved greatly.

4. Innovation	Develops, sponsors, or supports the introduction of new and improved methods, products, procedures, or technologies.	Inconsistent
---------------	--	--------------

Supervisor Performance Comments: John needs to be proactive about developing efficient solutions to our procedures. If he sees a way to improve something, he needs to contact his supervisor. John needs to understand that he can come to me.

Development Plan for Job-specific Competencies

During Planning: Enter any development needs in the area of job-specific competencies.

During Review: Supervisors and employees revisit how the employee has progressed against the development plan and supervisor should complete the comment section.

Competencies Development Needs*	Action Steps*	Target Implementation Date*
Self management	- Improve time management skills: Complete time management course "FOCUS"	May 2006
	- Improve interpersonal relationships: Complete 7 Habits course	August 2006
	- Explain personal time management system/process to supervisor	September 2006
	-	

Supervisor Development Comments:

John worked hard to improve his time management skills following the action plan; he has shown great improvement and seems to have a good personal time-management system.

IV Additional Developmental Needs

During Planning: Enter any additional development needs.

During Review: Supervisors and employees revisit how the employee has progressed against the development plan.

Development Needs*	Action Steps*	Target Implementation Date*
Career development	-Join professional organization	Feb 2006
	-Select and take at least two on-campus leadership courses	October 2006
	-Suggest at least one off-campus course	Feb 2006
	-Attend off-campus course	Nov 2006
	-Develop career goals and discuss with supervisor	June 2006

Supervisor Development Comments:

John's involvement in the professional organization is expanding his business relationships and his interest in leadership opportunities is expanding. This is an area for continued future development.

V Overall Rating

Rating: Supervisors should chose from the following ratings:

- Leading Performance – Exceeds targets; Performance surpasses requirements; Work serves as an example for others
- Strong Performance – Meets targets; Consistently demonstrates solid performance
- Building Performance – Near targets; Inconsistently demonstrates satisfactory performance; Additional experience/development would be beneficial
- Improvement Essential – Misses targets; Performance fails to meet required levels; Additional experience/development is necessary

Supervisor Overall Rating and Performance Comments:

Strong Performance. John has improved greatly over the year. He has greatly improved his teamwork and technical skills and is becoming much more efficient in his day-to-day activities. I am impressed with John's interest and drive toward achievement of departmental to goals. While John is friendly to all students and parents, he needs to continue to become more assertive with them. Overall John is doing a great job!

Planning Document Created*		Date	1/10/2006
Supervisor Signature	Jane Smith	Date	1/10/2006
Employee Signature	John Doe	Date	1/10/2006
Performance Review Approval Signatures			
Supervisor Signature	Jane Smith	Date	12/15/2006
Supervisor (Second Level Review) Signature	Mary Brown	Date	12/20/2006

Performance Review Conducted			
Employee Signature	John Doe	Date	12/15/2006

My signature indicates that I have discussed the contents of this document with my supervisor. It does not necessarily mean that I agree with the results.

Employee Comments:

Universal Performance Dimensions

Universal Performance Dimensions

Universal Performance Dimensions are performance evaluation measures common to all employees at Auburn University. They are organizationally focused rather than job focused. The Universal Performance Dimensions are to be included in the performance plan for each employee.

Each Universal Performance Dimension includes a definition of some observable behaviors that, when performed, may indicate acceptable performance. The list of behaviors is only a sample list; therefore, all of the listed behaviors may not be applicable to the specific position.

The Universal Performance Dimensions include:

- Teamwork
- Organizational Commitment
- Stakeholder/Customer Focus
- Diversity Commitment
- Maintaining a Safe and Secure Work Environment

Teamwork

Establishes and maintains respectful, cooperative, and productive, working relationships with co-workers, team members, supervisors, and other members of the University community.

- Listens and responds constructively to other team members' ideas
- Offers support for others' ideas and proposals
- Is open with other team members about his/her concerns
- Expresses disagreement constructively
- Provides assistance to others when they need it
- Works for solutions that all team members can support
- Shares his/her expertise with others

- Provides assistance, information, or other support to others, to build or maintain relationships with them

Organizational Commitment

Demonstrates a productive work style that is compliant with University and department policies and procedures in support of established goals and objectives.

- Uses time and other resources efficiently and productively
- Prioritizes work efficiently
- Follows through on commitments
- Contributes constructively to the mission, goals, and objectives of the organization

Stakeholder/Customer Focus

Demonstrates concern for satisfying one's external and/or internal stakeholders/customers.

- Is dedicated to meeting the expectations and requirements of internal and external stakeholders/customers
- Obtains first-hand customer information and uses it for improvements
- Establishes and maintains effective relationships with stakeholders/customers and gains their trust and respect

Diversity Commitment

Seeks to recognize, understand, and respond effectively to similarities and differences in people and makes better decisions based on that understanding. Recognizes and responds to the needs of various groups in the workplace and stakeholders/customers base so as to improve working relationships, productivity, and stakeholder /customer satisfaction.

- Supports organizational non-discriminatory objectives and timetables
- Demonstrates awareness and sensitivity toward multi-cultural issues
- Works effectively and willingly with diverse co-workers, students, and stakeholders/customers
- Supports a non-discriminatory and harassment-free work environment which contributes to a welcoming and inclusive university

Maintaining a Safe and Secure Work Environment

Committed to maintaining a safe, secure, non-threatening work environment.

- Maintains a clean, healthy, and safe work environment
- Contributes to a work environment that is non-threatening, secure, and free of harassment

- Understands and adheres to safety policies and procedures
- Promptly reports accidents, injuries, safety hazards, crimes, or emergencies to supervisor or appropriate University officials
- Follows operating instructions, uses protective equipment when required, actively strives to prevent accidents and injuries

Job-Specific Competencies

Competencies are the knowledge, skills and abilities, and other requirements that are needed for someone to successfully perform a job. Competencies define not only what a person must know and do, but also how a person does it.

Listed below are competencies that may be needed for a job. From this list of pre-defined competencies, the supervisor and employee should select two to four competencies that will most impact success in the job this year. The supervisor and employee should discuss the behaviors and agree on their use when evaluating performance.

Each competency includes a definition and some observable behaviors that, when performed, may indicate acceptable performance. The list of behaviors is only a sample list; therefore, all of the listed behaviors may not be applicable to the specific position.

The Job-Specific Competencies include:

- Effective Supervision (required of all employees in a supervisory role)
- Technical Expertise
- Effective Communication
- Problem Solving
- Results Orientation
- Personal Credibility
- Self Management
- Flexibility
- Decisiveness
- Innovation

Effective Supervision (required of all employees in a supervisory role)

Training, coaching, delegating, and developing capabilities of others; evaluating people and performance; disciplining and counseling, building positive relationships.

- Supports development of subordinates by providing avenues to improve their skills and competencies
- Provides on-going feedback and conducts performance reviews on time
- Encourages people to resolve problems on their own
- Deals with problems firmly and in a timely manner
- Addresses performance problems and issues promptly; lets people know what is expected of them
- Stays informed about employees' performance through both formal and informal methods
- Recognizes and encourages behaviors that contribute to teamwork
- Utilizes total performance management systems for the development, improvement, and evaluation of employees' performance
- Stays abreast of supervisory responsibilities through all available means

Technical Expertise

Demonstrates depth of knowledge and skill necessary for the job.

- Effectively applies technical knowledge to solve a range of problems
- Develops solutions to problems that cannot be solved using existing methods or approaches
- Is sought out to provide advice or solutions in her/her area of expertise
- Keeps informed about current development in his/her area

Effective Communications

Ensures information is effectively exchanged with others.

- Shares ideas and information with appropriate customers/stakeholders
- Practices attentive and active listening
- Ensures that regular, consistent communications take place
- Expresses ideas clearly and concisely in writing
- Expresses oneself clearly in conversation and interaction with others

Problem Solving

Identifies and solves problems with effective solutions.

- Uses available resources to evaluate potential solutions
- Identifies information needed to clarify a situation and seeks that information from appropriate sources
- Asks questions to clarify a situation
- Tackles problems with a logical and systematic approach
- Evaluates options by considering implications and consequences; chooses effective options
- Implements solutions within a reasonable time

Results Orientation

Ensures that one's own and/or others' work and information are complete and accurate; focuses on desired results of one's own or one's units' work.

- Sets up procedures to ensure high quality of work
- Verifies information
- Carefully reviews and checks the accuracy of own and/or others' work
- Has a sense of urgency about getting work completed
- Looks for and seizes opportunities to do more or to do things better

Personal Credibility

Demonstrates concern that one be perceived as responsible, reliable, and trustworthy.

- Demonstrates honesty, keeps commitments
- Behaves in a consistent and ethical manner
- Takes ownership of work and one's own actions
- Acts reputably in relationships with others
- Builds trust and credibility by demonstrating consistency between words and actions

Self Management

Takes responsibility for one's own performance.

- With his/her supervisor, clarifies expectations about what will be done and how
- Enlists his/her supervisor's support in obtaining the information, resources, and training needed to effectively accomplish his/her work
- Promptly notifies his/her supervisor about any problems that affect his/her ability to accomplish planned goals
- Seeks performance feedback from his/her supervisor and from others with whom he/she interacts
- Takes significant action to develop skills needed for effectiveness in current or future job

Flexibility

Open to different and new ways of doing things; willing to modify one's preferred way of doing things.

- Is able to see merits of perspectives other than his/her own
- Demonstrates openness to new organizational structures, procedures, and technology
- Switches to different strategy when an initially selected one is unsuccessful
- Demonstrates willingness to modify a strongly held position in the face of contrary evidence

Decisiveness

Makes decisions in a timely manner.

- Is willing to make decisions in difficult or ambiguous situations when time is critical
- Takes charge of a group when necessary to facilitate change, overcome an impasse, face issues, or ensure that decisions are made
- Makes appropriate decisions with consideration of the consequence for relevant stakeholders/customers

Innovation

Develops, sponsors, or supports the introduction of new and improved methods, products, procedures, or technologies.

- Develops new methods or approaches
- Sponsors the development of new services, methods or procedures
- Proposes new approaches, methods or technologies

- Develops better, faster, or less expensive ways to do things
- Works cooperatively with others to produce innovative solutions

Performance Planning

2. Performance Planning

A. Job Duties

B. Job Outcomes

— SMART Outcomes

C. Building a Development Plan

D. General Professional Development Opportunities

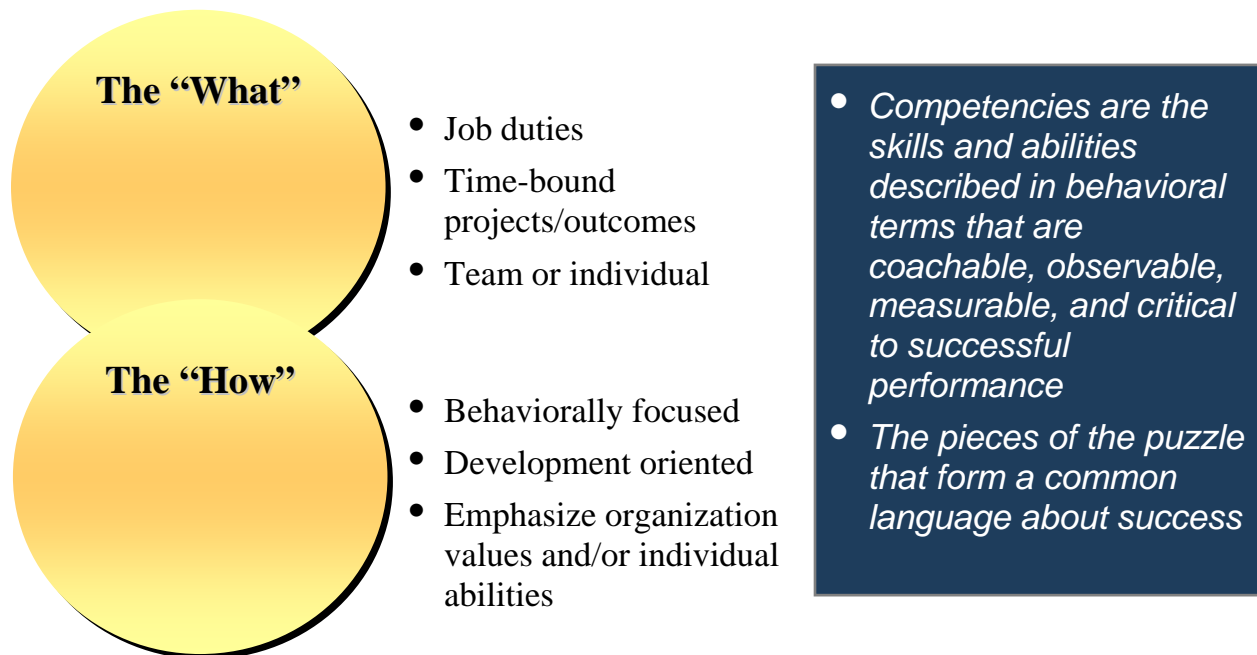
Job Duties

History

During the process for designing the new performance management system, focus groups were conducted, and one of the most common concerns with the current performance management forms was the pre-populated job duties section. The general concern was that the pre-populated fields did not always accurately portray the job duties an employee actually performed. Therefore, employees felt like supervisors were assessing their performance inaccurately. In order to address this concern, the job duties section has been revamped on the new performance management forms.

The “What” of Performance

The model below depicts the “how” and “what” of performance. When supervisors select job duties for employees, they should be focusing on the “what” of job performance. In other words, what specific job duties are required in order for the employee to perform their job successfully.



New Job Duty Section

The Job Duties section is the first section of the Performance Management Planning and Review form that supervisors should complete.

During planning, supervisors should select 3-7 job duties that describe the most important activities or accountabilities in the employee’s job this year. The duties listed **must** be job related. For each

job duty, managers should write the desired outcome. The outcome should describe what is expected of any competent, qualified person working in the position.

Supervisors can exercise their own discretion in selecting the job duties for planning, development, and review. Supervisors have two options when completing the job duty section: The first option is to select job duties from the employee's job description. However, if a supervisor feels that the job description is too generic or does not accurately describe the employee's position, the supervisor has the second option of writing duties that are specific to the position but are **not** included in the job description. This approach allows supervisors to accurately review employees on the job that they do. If supervisors choose the second option and include job duties that are not included in the employee's job description, the job duties must remain job related.

Job Outcomes

S.M.A.R.T. Outcomes

This quick reference will help supervisors and employees work together to develop performance outcomes that are Specific, Measurable, Attainable, Results-oriented, and Time-limited (SMART).

What do I need to know?

- A common mistake in setting outcomes is to start by identifying the activities before the outcomes or desired end results. Well-written objectives define expectations...not activities!

To make sure you set SMART outcomes

- First: take a stab at writing down objectives for the year
- Second: test the objectives against the SMART guidelines:
 - **Specific**—clear and concise statement of what needs to be done
 - **Measurable**—uses concrete, observable criteria such as cost, quality, quantities, cycle time, and revenue to describe what will be different once the objective is achieved
 - **Attainable**—feasible for the employee based on their demonstrated abilities and the challenge of the objective
 - **Results-oriented** – focused on a key outcome
 - **Time-bound**—includes a timetable for completion
- Third: if necessary, edit your objectives

Remember: SMART outcomes may not be appropriate for every job!!!!

S.M.A.R.T Outcome Examples

By the end of the fiscal year, conduct at least 4 coaching meetings with all employees.

Accounts are properly balanced by the 30th of each month.

Store is adequately staffed, even during peak workload times, with a minimum of over time.

Building a Development Plan

This quick reference will help supervisors and employees work together to build a Development Plan; that is a formal set of developmental goals with action steps and targeted completion dates, established at the beginning of the performance year. As we use the term here, development includes “training” (learning directed toward specific objectives such as following certain regulations or procedures or the application of an acquired skill) and “education” (learning directed at broader objectives such as becoming a more effective supervisor or better leader).

As a starting point, each supervisor and employee should jointly identify strengths and weaknesses and focus future development in areas that are of interest to the employee and important for Auburn University.

Key concepts of a successful development plan:

- The employee owns the plan;
- The supervisor and employee have jointly created the plan;
- The supervisor and employee have realistically balanced benefits with costs;
- The supervisor is committed to helping the employee accomplish the plan;
- The plan is outcome-focused, not activity-focused (i.e., shows how both supervisor and employee will know when the employee has improved);
- Development goals are not rated during the performance review—they are part of planning; and
- Training is not the only way to develop. In fact, the majority of development occurs “on-the-job.” So, focus on the outcomes that are hoped to be achieved, and then plan multiple ways in which to achieve them.

How to build a development plan (advice for the employee):

- **First:** Gather input to determine where to focus:
 - Performance Outcomes: What new skills or behaviors are required to achieve this year’s objectives?
 - Development areas: Based on performance feedback from past years, where have you fallen short?

— Career planning: What new skills and behaviors should you work on to prepare for your future career?

- **Second:** Define one to four development goals for Job Duties, Universal Performance Dimensions, and Job Specific Competencies that will build skills for today or prepare you for future roles and record those goals in the “Development Needs” column for each area of the three areas.
- **Third:** Identify development activities that support achievement of your goals. Consider:

Experience Learning Through Doing	Education Learning Through Resources	Exposure Learning Through Others
Activities such as: <ul style="list-style-type: none"> • Challenging on-the-job assignments • Job rotation programs • Mentoring others • Project teams/task forces • Conducting research • Tackling a start-up or “fix it” issue in your area 	Activities such as: <ul style="list-style-type: none"> • Instructor led courses (on or off campus) • e-Learning programs • Formal education programs • Professional associations and/or certifications • Reading professional books, magazines or journals 	Activities that offer you the opportunity to learn from others, such as: <ul style="list-style-type: none"> • Mentors/role models • Feedback, coaching • Visibility with key leaders/projects/teams • Networking

- **Fourth:** Record the selected developmental activities in the “Action Steps” column for each area of the Performance Management Planning and Review Form (Job Duties, Universal performance Dimensions, and Job Specific Competencies); these items should be the actual learning activities that will support the “Development Needs” or goals; also fill in the “Targeted Implementation Dates.”
- **Fifth:** Go over the development portion of the plan with your supervisor.

Tips

- Supervisors and employees should have regular development check-in discussions to see how things are going.
- A plan is only as good as the energy behind it, so it must reflect real needs, the employee’s real interests, and real targets to achieve.
- Development activities should focus not only on the job a person currently holds but also on jobs that may be of interest to the person in the future. All too often development activities focus only on short-term career aspirations (e.g., receiving a promotion within a job family), but the central focus of development should be towards longer-term career aspirations. Employees interested in higher paying job opportunities share a responsibility in preparing themselves for the jobs with higher levels of responsibility through such activities as university courses or job enlargement. Development plans should include both short- and long-term goals that “plan for the future.”
- The *Training and Development Guide* has a form which can be used to help create a Development Plan. A copy of the form is included in this Toolkit.

Developmental Plan for

(Name of person)

During the coming rating period, I suggest that you work on developing these areas in the manner suggested.

Universal Performance Dimensions	OJT (On-the-Job training)	(List specific course or courses under these blocks)		
		HRD Developmental Course(s)	Outside Course(s)	Other
Teamwork				
Organizational Commitment				
Customer Focus				
Diversity Commitment				
Maintaining a Safe and Secure Work Environment				

Job Specific Competencies	OJT (On-the-Job training)	HRD Developmental Course(s)	Outside Course(s)	Other
Effective Supervision				
Technical Expertise				
Effective Communications				
Problem Solving				
Results Orientation				
Personal Credibility				
Self Management				
Flexibility				
Decisiveness				
Innovation				

		(List specific course or courses under these blocks)		
Job Specific Duties	OJT (On-the-Job training)	HRD Developmental Course(s)	Outside Course(s)	Other

(Supervisor)

(Plan owner)

Copy 1 - Plan Owner
Copy 2 – Supervisor

The Performance Planning Meeting: Before, During and After

Preparing for the Performance Planning Meeting

Supervisor

- Define the job duties for the performance year; duties can be position-specific and *must be* job related
- Assemble outcome-setting inputs
 - Review at job description
 - Determine the most important components of the individual's
 - Consider special projects
- Draft well-written, concise outcomes with the right degree of challenge

Employee

- Review job description
- Determine the most important components of job
- Consider special projects/assignments
- Think about developmental areas of interest

Conducting the Performance Planning Meeting

Supervisor

- Agree on job duties (must be job related)
- Communicate work priorities to individual
- Discuss draft outcomes
- Modify outcomes if needed

Employee

- Agree on job duties
- Discuss draft outcomes
- Modify outcomes if needed

After the Performance Planning Meeting

Supervisor

- Finalize documentation of performance expectations
- Agree upon regular check-ins for coaching and feedback with employee
- Sign-off on planning document

Employee

- Agree upon regular check-ins for coaching and feedback with employee
- Sign-off on planning document.

Coaching & Feedback

3. Coaching & Feedback

- A. Asking for, Receiving, and Giving Feedback
- B. Preparing for Difficult Coaching Situations

Asking for, Giving, and Receiving Effective Feedback

This quick reference guide will help employees and supervisors learn how to ask for and get helpful feedback from others about their performance and behaviors. It also includes tips on how to give effective feedback to others.

What do I need to know about feedback?

Create a feedback-friendly environment so that all employees can get the information they need to succeed. Supervisors and employees can both help to encourage giving and receiving feedback by

- Using every opportunity to ask for feedback yourself (e.g., at the end of a meeting you facilitate, ask others how you could have run it better)
- Welcoming requests for feedback and doing your best to provide meaningful and constructive insights
- Including a discussion on how to give and receive feedback in an upcoming team meeting so employees understand the importance of doing this well and have a chance to learn from each other
- Providing feedback as soon as possible after you observe a behavior. Doing so immediately reinforces the positive or gives the employee a chance to quickly address shortcomings before they are repeated

Giving Feedback

Be specific. Do not leave someone wondering exactly what they did wrong—or right. Make sure they understand the impact of their actions (positive and not-so-positive impact).

Do not “pile on” too much information. Ask yourself: “What is the one thing I can tell this person that will help them the most?”

Do not use the “sandwich” technique (positive—negative—positive); it usually sounds insincere and waters down the main message.

Create a balance of positives/negatives through a series of feedback messages and not in one conversation.

Plan ahead when preparing to give feedback during performance check-ins and development discussions.

Coaching for Success

Coaching is an attitude not a process

- Informal
- An approach to providing feedback
- Based on observation
- Meant to be immediate, constructive, and non-threatening
- Supportive
- Demanding tactfully
- A collaboration between supervisor and employee
- Includes direction, encouragement and follow-up

Tips and Tools

When giving feedback, consider using the STAR model. Describe:

S	Situation	Conditions, circumstances
T	Task	Purpose, desired results
A	Action	Activities, behaviors, process
R	Result	Accomplishments, consequences of actions

Here's an example of using STAR feedback for improvement

Situation/Task—Bill was meeting a new customer for the first time

Actions—Bill shared a lot of information and did most of the talking and failed to listen to the customer or determine the customer's needs

Result—The customer felt rushed to make a decision and ended up hurrying us out of the office. We are unsure if we will get another chance to meet with Bill

During the actual coaching session with Bill, the supervisor would give feedback using the STAR technique and would also suggest alternative actions that might have resulted in a different outcome. That coaching feedback might sound something like this *“Bill, if you had asked the customer about his/her needs, you could have come up with a tailored solution, thereby increasing her receptivity to our proposal.”*

Here are some additional examples of STAR feedback:

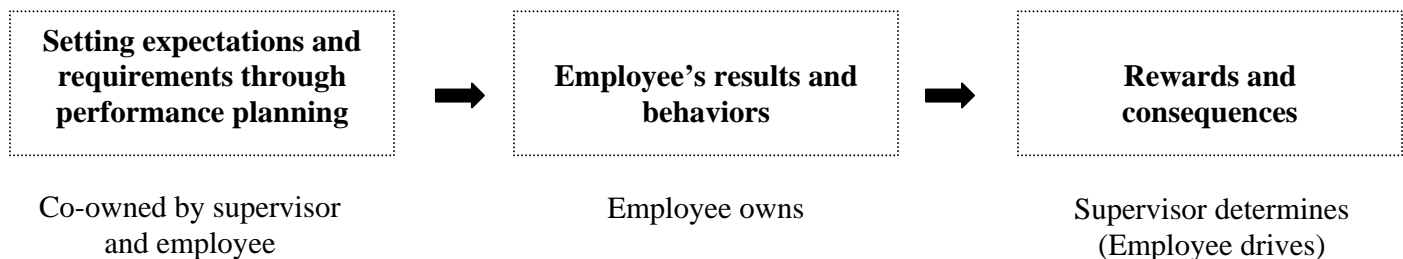
<u>S</u>ituation, <u>T</u>ask, and <u>A</u>ction	<u>R</u>esult	Describe what the employee should do in the future.
“You revised the report in a completely new way...”	“...the customer was delighted...”	“...keep using your creativity and taking initiative.”
“A few times you’ve neglected to pick up a phone that was ringing...”	“...we risk losing valuable customers if we are not responsive...”	“...even if it’s not your phone, we need to cover for each other, so we expect you to share in the responsibility.”
“You did a nice job of facilitating the team’s discussion today on some difficult issues...”	“...you helped the team stay focused, you kept everyone involved, and we were able to reach a good resolution....”	“...keep looking for opportunities to lead the team—we really need that from you.”
“Your analysis of this survey data was thorough and precise...”	“...your work on this project can serve as a model for similar projects...”	“...I’d like you to take the lead on the next survey that we do.”
<ul style="list-style-type: none"> • “Although we agreed that you would help train the new analyst, I have not seen you spending much time with him...” 	<ul style="list-style-type: none"> • “...because of that, he has been asking questions of other people in the department who are less experienced and not always able to give the kind of expert answers that you can...” 	<ul style="list-style-type: none"> • “...I’d like you to commit to spending 30 minutes each day with him, and we can reassign one of your daily reports to free you up in order to meet this commitment.”

Preparing for Difficult Coaching Situations

This quick reference will help supervisors prepare for and conduct coaching sessions with employees who are not meeting performance objectives or demonstrating the correct behaviors. These are among the most challenging discussions for supervisors to have with employees so we have included several tips and tools to help you prepare for and conduct a productive coaching session.

What do I need to know?

- Time is of the essence! Quickly, get to the bottom of the issue and the best way to deal with it to maintain productivity (and in the case of a recurring issue, minimize disruption to the team).
- Help employees understand the “Performance Partnership” (describe or draw this graphic for them). This describes the supervisor’s and employee’s roles in the performance management process and in delivering the right results with the right behaviors.



How do I do it?

First: Determine what might be contributing to the employee’s performance problems. Here are some questions to ask yourself and the employee as you work to uncover the source of the employee’s performance challenges:

- Was the employee able to properly perform job duties, meet performance outcomes, demonstrate behaviors, and achieve the right results in the past?
- Has something changed recently—workload, different types of assignments, job duties, working relationships, etc.?
- Are they penalized in some way (e.g., with more work) for performing as expected?
- Is *not* performing somehow being rewarded?
- Are there policies, procedures, or others barriers to performance?

Second: If it is a first time occurrence, ask these types of questions to explore what is going on with the employee?

- I observed or heard about _____. What's your take on what happened?
- Why do you think I (or others) might have interpreted what happened differently than you?
- What was the impact of _____?
- How might you approach this next time?
- How can I help?

Third: Consider using the Corrective Feedback Model illustrated below to conduct a constructive two-way discussion about what the employee can do to improve their performance.

Step	Action	Sample Phrase
Share observations about the employee's performance	<ul style="list-style-type: none"> • Identify what is happening or not happening • Be specific and focused directly on behaviors 	<ul style="list-style-type: none"> • I've noticed that... • It seems that.... • Let me describe a pattern I've seen...
Engage employee	<ul style="list-style-type: none"> • Ask for the employee's perspectives and opinions 	<ul style="list-style-type: none"> • How do you interpret this situation? • How do you think things are going?
Request change	<ul style="list-style-type: none"> • Ask for a new effort or what should be happening • Generate ideas together, letting the employees speak first 	<ul style="list-style-type: none"> • What ideas do you have for resolving this situation? • What changes do you think would be helpful here?
Verify agreement	<ul style="list-style-type: none"> • Solidify the new course of action 	<ul style="list-style-type: none"> • So, starting this week, you will... • Are we in agreement on this? • When can I expect you to <u> </u>?
Express confidence	<ul style="list-style-type: none"> • Reinforce self-esteem. • Offer support and thank the employee for ideas and future efforts to improve. 	<ul style="list-style-type: none"> • I really like what we have come up with. • Thank you for your ideas and efforts to make this happen.

Fourth: For a recurring performance issue you have talked about before, think about the actions you may need to take including:

- **Develop:** Create a performance improvement plan to define what skills the employee should develop.
- **Re-assign:** This option is only for employees who are a mismatch for the current job but have other needed skills and will most likely perform better in another role.
- **Terminate:** This may be a tough call, but you may need to consider this as an option for employees who are not the right fit for Auburn University. Always involve HR and/or your supervisor in these discussions and decisions.

Tips and Tools

- Keep the conversation focused on what is within the employee’s control (i.e., *their* behaviors, *their* decisions).
- Convey the message “I want you to succeed—let’s talk about what you can do and how I can help.”
- If you receive negative feedback about your employee from others:
 - Ask the feedback provider questions to understand the issue completely, but more importantly...
 - Try to get that person to give the employee their feedback directly
 - Give sufficient thought to (and ask your HR Generalist for help with) clear professional ways to convey the tough messages (e.g., “You’ve given this what you could, and we’re still in a tough spot in terms of you not meeting expectations... I’ve had to make the determination that...”)
- Use these strategies to respond to negative employee reactions to coaching:
 - Resistance—“I don’t see a problem with my performance”
 - Restate the problem
 - Discuss additional consequences (e.g. progressive discipline)
 - Defensive/Deflective—“What about Jim—he’s made many mistakes and does not do as much work as I do”
 - Remind the employee that the discussion is about their performance—not anyone else’s
 - Reinforce that all employees get feedback about their performance

- Anger—“I can’t believe you’re throwing that in my face.”
 - Remain calm and composed
 - Acknowledge the employee’s frustration, if appropriate, without agreeing with or condoning it
 - Restate the issue and continue the discussion or suggest another time to meet once the employee has had a chance to cool down
- Victim—“You’re right...I’ve messed up again.”
 - Question the extreme position. “Are you saying you don’t see value in the work you do?”
- Reticent (Silent)
 - Pause and allow them to digest the information you have provided to them
 - Eventually, restate the issue (e.g., his/her behavior and the impact it is having) and ask for his/her views
 - If necessary, discuss consequences of his/her noninvolvement in reaching a solution
- Crying
 - Silence may be the best first reaction
 - Acknowledge that the discussion is difficult, if appropriate
 - Choose between suggesting another time to meet or restating the issues and continuing the discussion

Performance Review

4. Performance Review

A. Tips for the Successful Performance Review Meeting

Tips for Preparing for and Conducting the Performance Review

This quick reference guide will help you prepare for and conduct the performance review and select and explain the right rating for each employee for their performance against Job Duties, Universal Performance Dimensions and Job-Specific Competencies.

What do I need to know?

- Approach assessing and rating performance as a continual process, involving regular check-in discussions with the employee about their progress. In other words, you are preparing the employee during the year to be his/her own best assessor—so the final assessment and rating should confirm what they already know, not be a surprise to them!
- You own the ultimate rating decision. Choose the rating you feel best captures the employee's level of contribution and explains how he/she delivered on his/her job duties, outcomes, and competencies. You will need to explain your assessment and ratings, and supply examples to support your decision.
- Prepare for performance discussions by thinking about how you can most effectively communicate performance messages. Consider both what you say (the words you choose and examples of performance) and how you say it (your tone of voice and body language).

How do I do it?

- **First:** Consolidate, review, and summarize all of the performance data you have collected throughout the year (e.g., Progress Review Form, Performance Management Log, and Self-Appraisal). Then, assess each component of the employee's performance— performance outcomes and competencies.
- **Second:** Apply *fact-based* judgment—your best effort to accurately and fairly weigh all the data you can reasonably get to determine a rating that will give the employee a clear and accurate message about their performance.
- Focus on the performance, not the person—you're evaluating what they did relative to job expectations this past year, not their history, their potential, their stature at AU, etc.
- Also ask yourself, "What message do I most need to convey to him/her? What rating will help and motivate them to strive to do their best?"
- Focus on the *trends* that have emerged across the performance period, rather than be overly influenced by high-profile incidents and exceptions. Consider:

— What *best characterizes* the employee’s contributions and approach throughout the year?

— Is performance trending up? Down? Should this have a bearing on the rating?

- **Third:** Summarize your assessment in the employee’s performance review. Provide examples to illustrate the employee’s accomplishments and short-falls.
- **Fourth:** Select a rating for each component of performance—job duties, universal performance dimensions, and job-specific competencies that most accurately describes the employees contribution and results.
- **Fifth:** Prepare and conduct the performance review. You have done solid thinking to develop the performance review and rating. Now you need to explain it effectively. It is important that the employee feels:
 - Acknowledged and appreciated for the results they achieved;
 - You care enough to give feedback that will really help them;
 - You gave them a fair rating that is consistent with the feedback you have given throughout the year; and
 - Supported...you are a committed partner in their future success.

Tips for Performance Review

Preparing for the Performance Review Meeting

Questions to Consider

- Do you have sufficient examples of the employee's performance to convey your message?
- Does the feedback include actionable examples of behavior that are linked to results?
- Can you communicate the feedback to the employee in a compelling manner?
- Do you need to go back to sources and ask questions to gain further understanding?
- Is any of the data biased?
- Does the data paint a consistent picture based on frequency and impact?

Tips for Writing Effective Reviews

- Explain how the individual's performance exceeds, meets or is below expectation
- Give specific behavioral examples to support the assessment
- Keep feedback grounded in fact, not opinion
- Focus on patterns of behavior, not on a single event
- Focus on behavior exhibited, rather than speculating as to the cause

Preparing to Discuss Performance Issues

- Identify the gap
 - Make sure the difference between actual vs. desired performance is clear
- Be clear about why the performance problem is important
 - Discuss the business reason
 - Determine the consequences of not changing
 - Impact on pay increases, future project assignments, etc.
- Determine how you will coach and support the employee

- Determine appropriate follow-up

Pitfalls in Performance Reviews

- Rater Bias
 - Manager allows personal biases to drive rating of employee performance
- Halo Effect
 - Employee does some things well, so supervisor over-rates performance in all areas
- Recency Effect
 - Manager is overly influenced by memory of employee's most recent performance, positive or negative, and rates entire year's performance based on recent events
- Leniency Error
 - Manager makes all ratings higher than the actual performance
- Central Tendency
 - Manager makes all ratings around the average and fails to use the highest and lowest scale in making ratings

Appendix

5. Appendix

A. FAQs

B. Human Resources Development General Professional Development Course Offerings in Support of the Performance Management System

C. Glossary of Terms

D. Performance Management Employee Education Materials

FAQs

-
- When is the best time to give an employee feedback/coaching about behavior that isn't exactly "a problem" yet, but has the potential to become one?
 - To be effective, feedback has to be given on an ongoing basis and in a timely manner. However, timely does not necessarily mean immediately. It means providing feedback as soon after a "triggering event" as practical, and not waiting for the year-end performance review.
 - How can a supervisor constructively communicate a difficult issue to an employee without negatively affecting performance or morale?
 - Constructive feedback is appropriate to deliver a message regarding behavior that needs to be corrected. In addition to needing to be ongoing and timely, feedback also needs to be specific. Make sure you are clear about the action, use a specific example and communicate what the results will be if the action continues. Always treat the employee with respect and offer positive feedback when the behavior has been corrected so that the employee knows that his/her efforts are recognized.
 - Why do we have separate rating scales for Universal Performance Dimensions/Job Specific Competencies and Job Duties/Overall Rating?
 - Rating scales serve to distinguish between various levels of performance. A rating scale of either "consistent" or "inconsistent" introduces the expectation for results without the need for making finer distinctions. Because it is difficult to establish further distinguishing levels for competencies and universal performance dimensions, the "how" a person does a job, the two-option rating scale is more appropriate. On the other hand, it is common practice to provide more than two distinguishing levels to rate "what" a person does; i.e., the job duties. For the "what" area, supervisors need more finite options in order to rate a person's job duty performance.
 - How can I use feedback and coaching to motivate and employee's personal growth and expansion of responsibility when they are already doing their job well?
 - Employees should be coached on all opportunities where it is possible for them to grow at AU. This includes growth within their current role as well as the possibility of moving into another role within the University. If employees are doing their job well, positive feedback will encourage them to continue the existing behaviors that are responsible for their successful performance. Too often, constructive feedback is only given to encourage employees to change their behavior, but positive feedback is just as important.

- How will supervisors be held accountable for ensuring that the performance management process is followed?

— In the Job Specific Competencies, supervisors will be held accountable for their participation in the process.

- How does the performance rating link to rewards?

— One of the factors used in determining merit increases is a person’s overall performance rating.

- Job Transfers and Moves

I have a new employee...	Supervisors with employees who join mid-year should complete the planning portion of the Performance Management Planning and Review form for the remainder of the performance year and their performance should be assessed at the year’s end.
I have an employee who has been promoted...	Supervisors with employees promoted to a different job should work with their new employee to prepare a new Performance Management Planning and Review form appropriate to the employee’s new position.
I am a supervisor and I move...	A supervisor who is about to move should review all employees before departure. These reviews should be given to the incoming supervisor.

- Why is there a new system? What’s wrong with the current system?

— The current system is 15 years old and needed to be reviewed. It encouraged supervisor-only ownership of the process, had limited opportunity for planning and development, offered few occasions for supervisor-employee communication, and had an awkward cycle. Additionally, the focus groups conducted as part of the Compensation and Classification Project called for a better system.

- How is this connected to compensation?

— Performance management is primarily about individual growth and development as well as about helping Auburn University achieve excellence in instruction, research, and outreach. There is, however, a connection between performance and pay: Auburn’s pay philosophy is to provide salaries that are competitive, equitable and reflective of **individual performance**.

- Why don't the new Performance Management forms contain job descriptions?
 - Job descriptions are written using **broad responsibility statements** to describe a job that could be held by several employees. **Duties** that are specific to and only performed by one individual may or may not be found in the broad responsibility statements in a job description. The new Performance Management form allows a supervisor, in conjunction with the employee, to list duties that may be specific to the individual position rather than using the broad responsibility statements. Any duties listed must, of course, be job-related and remain consistent with the broader statements of the job description.

Human Resources Development General Professional Development Course Offerings in Support of the Performance Management System

General Professional Development

These courses provide individuals opportunities to improve so that the University, in turn, improves its ability to offer education, research, and outreach. Thus, while the first focus of this category of training and development is on individuals engaging in a pattern of courses, the ultimate goal in offering these courses is to improve our work environment.

For ease in planning development goals and objectives, these General Professional Development Courses are grouped into seven categories which support all five “Universal Performance Dimensions” and some of the “Job Specific Competencies” of the University’s Performance Management System.

Consult the current *Training and Development Guide* for complete descriptions of each course.

Universal Performance Dimensions

- Teamwork
 - Conflict Management at Work
 - Thinking Outside the Lines (The Management of Change)
 - Motivation
 - Interpersonal Communication
 - Meeting Skills
- Organizational Commitment
 - Strategic Planning
 - The University’s Planning Process
 - Professional Ethics
- Stakeholder/Customer Focus

- Building and Sustaining a Service Culture
- Train the Trainer for Building and Sustaining a Service Culture
- Effective Telephone Communication Skills
- Diversity Commitment
 - Diversity in the Workplace: Learning and Practicing Cultural Competence
- Maintaining a Safe and Secure Work Environment
 - Affirmative Action/Equal Employment Opportunity for Supervisors/Supervisors
 - Preventing Unlawful Harassment: Your Rights and Responsibilities as an AU Employee

Job-Specific Competencies

- Effective Supervision
- Leadership Development – 8 courses
- The Legal Foundations of Supervising University Employees – 10 courses
- Obtaining the Right Person for the Job – 2 courses
- Performance Management Skills and Techniques – 4 courses
- Training – 3 courses
- Effective Communication
 - Listening
 - Oral Communication
 - Written Communication – 3 courses

Glossary of Terms

Competencies	Knowledge, skills, and abilities described in behavioral terms that are coachable, observable, measurable, and critical to successful performance.
Development Plan	A formal set of developmental goals established at the beginning of the performance year allowing the individual and the supervisor to establish short-term and long-term priorities for individual growth (e.g., promotion in a job family, movement to a higher level position, and long-term career development).
Feedback and Coaching	<i>Feedback</i> describes behaviors and outcomes. <i>Coaching</i> provides suggestions and assistance on how to improve behaviors and outcomes.
Job Duties	Describe the most important activities or accountabilities of the job.
Job-Specific competencies	Specific competencies that may be needed for a job. Each competency includes a definition and some observable behaviors that, when performed, may indicate acceptable performance.
Outcomes	Results that will occur if job duties are successfully completed.
Performance Review	An end-of-year discussion between a supervisor and employee focusing on achievement of performance goals.
Performance Management	An iterative process of planning, coaching, feedback, and review designed to improve individual performance
Performance Plan	The result of a discussion and agreement between an individual employee and supervisor on performance and development goals for the coming year.
S.M.A.R.T Outcomes	Outcomes that are specific, measurable, attainable, result-oriented and time-limited.
Universal Performance Dimensions	Organizationally-focused performance evaluation measures common to all employees at AU.