

Performance Management Employee Education Materials

6. Performance Management Employee Education Materials

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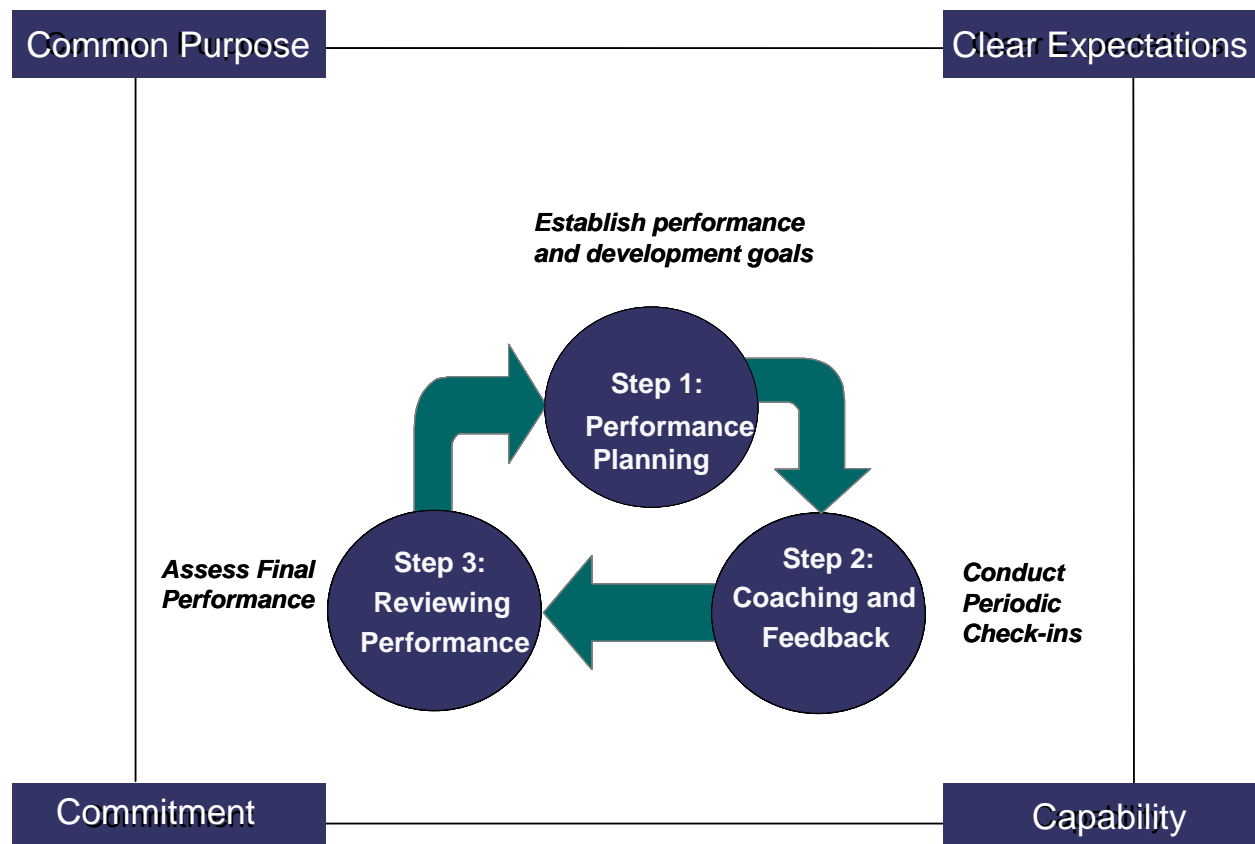
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Performance Management Process

The following picture illustrates the components of our performance management process.



“What & How” of New Performance Management System

The following table describes *what* makes up an employee’s performance and *how* the employee can execute these job duties. For example, using “Problem Solving” (a job-specific competency), the employee can build an operating budget, one of his/her job duties.

WHAT	Job Duties	<ul style="list-style-type: none"> Suggested 3—7 job duties with clearly defined outcomes. The job description is a resource for the job duties. Duties can be either ongoing job responsibilities OR non-recurring, project-based accountabilities. Each will be rated on a 4-point scale.
HOW	Universal Performance Dimensions	<ul style="list-style-type: none"> Five Universal Performance Dimensions. All employees will be rated as Consistent/Inconsistent on each.
	Job Specific Competencies	<ul style="list-style-type: none"> Ten pre-defined competencies will be provided to supervisors and employees. Suggested 2—4 will be selected to be included in the performance plan, dependent on job responsibilities. Employees will be rated as Consistent/Inconsistent on each.

What's Changing – New Performance Management Forms

Performance Management Document Will Be Used for

- Performance Planning
- Performance Development
- Performance Review

Additional Tools (all optional)

- Performance Management Log (used by supervisor and employee to record achievements/demonstrations/outcomes throughout the planning and review period)
- Performance Management Progress Review Form (used throughout the period by supervisor and/or employee to foster discussion of performance outcomes)
- Self Appraisal (gather input from the employee prior to performance review)

Performance Management Process – Roles and Responsibilities

The following charts depict Supervisor and Employee roles and responsibilities for the process.

Completion of Current Performance Management Cycle (June 2005 –December 2005)

Supervisor	Employee
<ul style="list-style-type: none"> Prepare performance planning worksheet reflecting performance 6/1/05-12/31/05 Complete performance appraisal for six month period 	<ul style="list-style-type: none"> Participate in performance planning for 6/1/05-12/31/05 Participate in performance appraisal for six month period

Introduction of New Performance Management System (October 2005 –January 2006)

Supervisor	Employee
<ul style="list-style-type: none"> Become familiar with new performance management process and tools by attending the Introduction to Performance Management training. Describe new performance management process to employees and share employee education materials with employees Prepare to implement new performance management system in January 2006 	<ul style="list-style-type: none"> Look for communication about new performance management system Remind supervisor to describe new performance management system Prepare to take ownership in the new performance management system

Beginning of New Performance Management System (January 2006 –December 2006)

Supervisor	Employee
<ul style="list-style-type: none"> Complete Performance Management Planning Form with employee Provide ongoing performance feedback to employee Complete Performance Management Log (optional) Complete Performance Management Progress Review Form (optional) Complete Performance Management Review Form 	<ul style="list-style-type: none"> Complete Performance Management Planning form with Supervisor Complete Performance Management Log (optional) Complete Performance Management Employee Self Appraisal Form

Rating Scales

There are two rating scales going forward. The first scale below will be used for Job Duties and Overall Ratings. The second scale will be used for Universal Performance Dimensions and Job Specific Competencies.

Rating Scale – Job Duties and Overall Ratings

Leading Performance	<ul style="list-style-type: none">▪ Exceeded targets▪ Performance surpassed requirements▪ Work served as an example for others
Strong Performance	<ul style="list-style-type: none">▪ Met targets▪ Consistently demonstrated solid performance▪ Consistently effective
Building Performance	<ul style="list-style-type: none">▪ Near targets▪ Inconsistently demonstrated satisfactory performance▪ Additional experience/development would be beneficial
Improvement Essential	<ul style="list-style-type: none">▪ Missed targets▪ Performance failed to meet required levels▪ Additional experience/development is necessary

Rating Scale – Universal Performance Dimensions and Job Specific Competencies

Consistent	<ul style="list-style-type: none">▪ Consistently demonstrated behaviors representative of universal performance dimensions or job specific competencies▪ Consistently effective
Inconsistent	<ul style="list-style-type: none">▪ Demonstrated behaviors effectively, in some, but not all situations▪ Specific experience/development is necessary

Explanation of 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. You will be rated on how well you accomplished the outcomes listed in your 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.

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

Throughout the year you should strive to complete the outcomes listed in your 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 your supervisor. The form will be completed by your supervisor, approved by the second-level supervisor, and reviewed with you by your supervisor.

Performance Management Log

This form can be used *throughout* the performance year by either you or your supervisor to write down any achievements or demonstrations in the job areas of 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 you or your supervisor *at any time* and is to be used as a tool between you and your supervisor 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 your input into your performance *prior to review* of the annual performance appraisal.

Use of this form is optional.

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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 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.

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.

Job Duties*	Outcome*	Rating
3.		

Supervisor Performance Comments:

4.		
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Supervisor Performance Comments:

5.		
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Supervisor Performance Comments:

6.		
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Supervisor Performance Comments:

7.		
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Supervisor Performance Comments:

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*
<div style="text-align: center;"> <p>Supervisor Development Comments:</p> <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>Supervisor comments are completed at the <i>end</i> of the PM</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> </div>		

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 working relationships with co-workers, team members and other members of the university community.	<div style="text-align: center;"> <p>The rating section and supervisor's comments are completed at the <i>end</i> of the PM cycle.</p> </div>
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
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3. Stakeholder Focus	Demonstrates concern for satisfying one's external and/or internal stakeholders/customers.	
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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.	
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Supervisor Performance Comments:

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

Development Plan for Universal Performance Dimensions

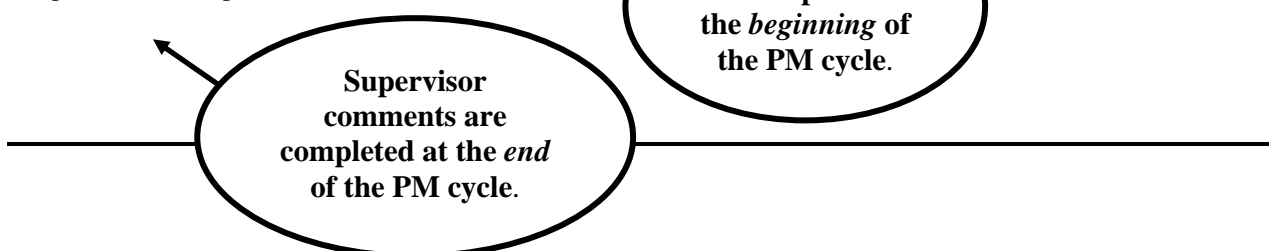
During Planning: Enter any development needs in the area of universal performance dimensions.

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*
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Supervisor Development Comments:



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 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

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="text-align: center;"><p>Supervisor Development</p><p>This section is completed at the <i>end</i> of the PM cycle.</p></div><div style="text-align: center;"><p>These sections are completed at the <i>beginning</i> of the PM cycle.</p></div></div>		

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="text-align: center;"><p>Supervisor Development Comments:</p><p>This section is completed at the <i>end</i> of the PM cycle.</p></div><div style="text-align: center;"><p>These sections are completed at the <i>beginning</i> of the PM cycle.</p></div></div>		

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:

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

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

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

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

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:

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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

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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.

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Completion
of this form
is optional.

Describe Areas Where Assistance Is Needed (if applicable):

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Activities Planned to Improve Performance (if applicable):

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Additional Comments:

--

We have met and discussed the progress review.

Employee Signature:		Date:	
Supervisor Signature:		Date:	

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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 the form is optional.

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

Please assess your job performance for the past year:

<div>Completion of this form is optional.</div>

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

--

What challenges made it difficult to meet the performance expectations?

--

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
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
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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
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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	Feb 2006
	-Discuss methods learned with supervisor	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 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

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.

2. Self-management	Takes responsibility for one’s own performance.	Inconsistent
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Supervisor Performance Comments:

Job-Specific Competency*	Definition*	Rating
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	<ul style="list-style-type: none"> - Improve time management skills: Complete time management course "FOCUS" - Improve interpersonal relation-ships: Complete 7 Habits course - Explain personal time management system/process to supervisor 	May 2006 August 2006 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 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
-

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 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:

Performance Planning – Roles and Responsibilities

The following table shows the roles and responsibilities for the Performance Planning portion of the Performance Management System

Supervisor	Employee
<ul style="list-style-type: none">• Work with employee to draft and finalize performance plan• Share tools and expertise• Maintain an open dialogue with employee• Communicate work unit's goals and objectives to team• Model the development of SMART* outcomes, if applicable• Evaluate individual employees' goals to link them to team goals	<ul style="list-style-type: none">• Work with supervisor to develop, draft, and finalize performance plan• Engage in open dialogue with supervisor• Understand the broader team outcomes that individual outcomes must support• Regularly update supervisor to discuss progress, to problem solve, and to stay calibrated

*Specific, Measurable, Attainable, Results-Oriented, Time-limited

Performance Planning Process

We will follow the following process for Performance Planning. As an employee, you and your supervisor both have certain responsibilities within the process. Refer to roles and responsibilities to determine what you need to do to complete this part of the process.

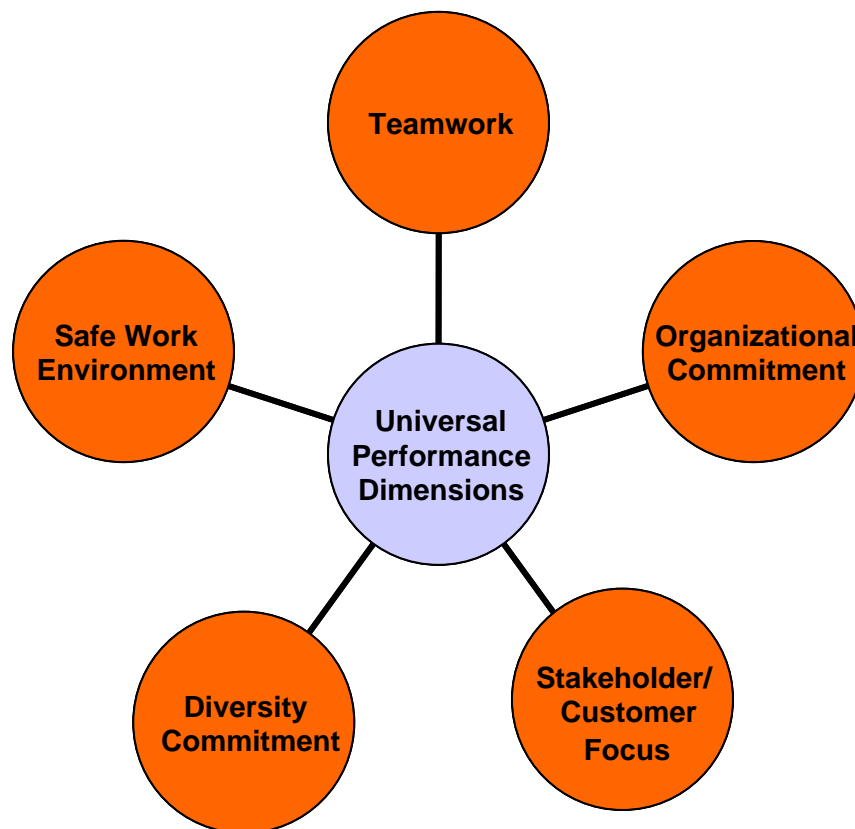
Performance Planning Process Steps

1. Review employee's current job duties
2. Review department goals and objectives
3. Review Auburn University's goals, mission, and vision
4. Mutually agree on performance plan contents
 - Job Duties and Performance Outcomes
 - Universal Performance Dimensions
 - Job-Specific Competencies
5. Complete Performance Planning portion of the form
6. Establish timelines and follow-up actions

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. Please discuss these behaviors with your supervisor.

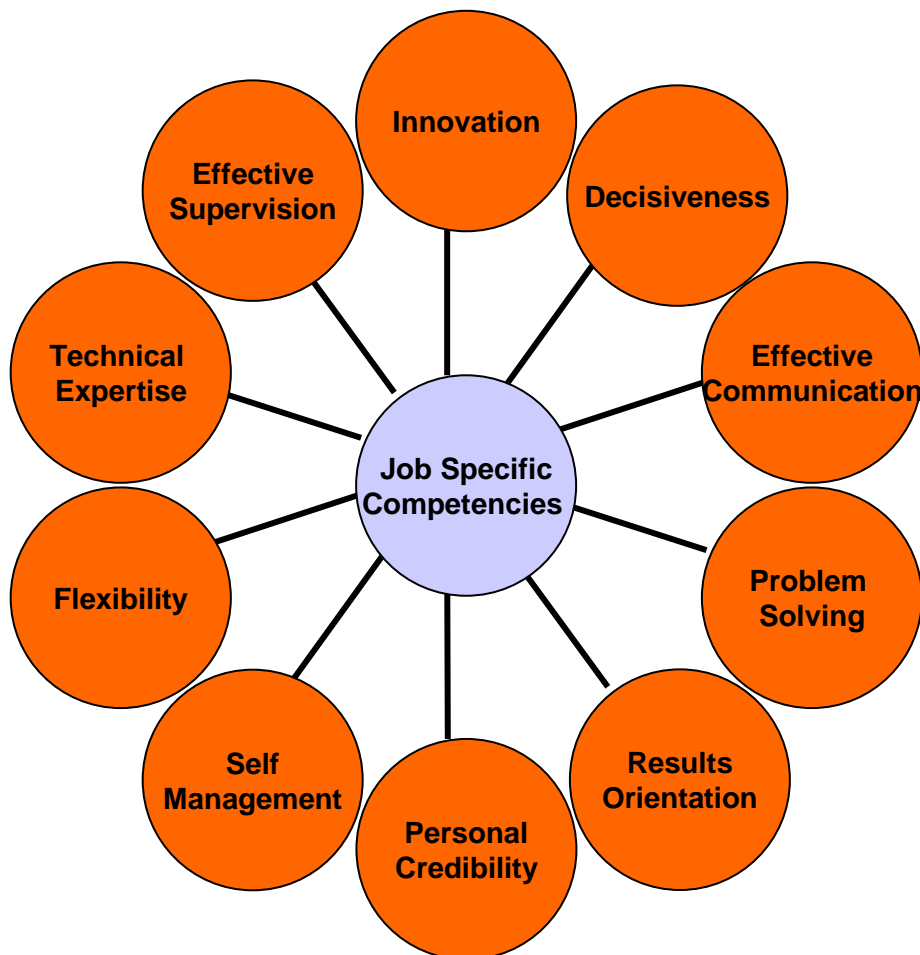


Job Specific Competencies

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.

The picture represents competencies that may be needed for a job. From this group of pre-defined competencies, you and your supervisor should select two to four competencies that will most impact success in the job this year. You and your supervisor 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. Talk to your supervisor about the definitions of these competencies.



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.

		(List specific course or courses under these blocks)		
Universal Performance Dimensions	OJT (On-the-Job training)	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

Coaching & Feedback – Roles and Responsibilities

The following table shows the roles and responsibilities for the Coaching and Feedback portion of the Performance Management System

Supervisor	Employee
<ul style="list-style-type: none">• Establish and conduct coaching sessions to enhance individual performance, compare progress to plan, and renegotiate outcomes.• Record coaching notes and results on the Performance Management Log form.• Share honest and timely feedback regarding employee's progress and performance. Recognize achievements, identify underdeveloped behaviors, leverage strength, and provide direction.• Support individual in focusing on the most important priorities.	<ul style="list-style-type: none">• Ask for, listen to, and incorporate feedback.• Request coaching and support from supervisor and others.• Take action to achieve outcomes, overcome barriers, develop necessary competencies, and access needed resources for development.• Maintain individual responsibility for growth and career development.

Coaching & Feedback Process

We will follow the following process for Coaching and Feedback. As an employee, you and your supervisor both have certain responsibilities within the process. Refer to roles and responsibilities to determine what you need to do to complete this part of the process.

Coaching & Feedback Process Steps

1. Individual and supervisor meet formally and informally several times throughout the year to discuss progress toward performance goals
2. Supervisor delivers ongoing coaching and feedback as requested and/or needed
3. Supervisor and employee refine outcomes as needed based on changes to job duties
4. Supervisor and employee define developmental actions steps, as needed to meet performance outcomes in the time frame established

Employee Tips – Asking for Feedback

Asking for Feedback

Go to your supervisor and ask for honest and useful feedback.

Ask for quality not quantity.

Tell the supervisor what you want feedback on to help him/her focus the comments

Great questions for “on-the-spot” feedback:

- What should I start doing?
- What should I stop doing?
- What should I do more of?
- What should I do less of?
- What should I continue doing?

Employee Tips – Tracking Personal Progress

Having a clear understanding of your individual performance outcomes, the objectives or results you are accountable for achieving, and your supervisor's expectations for your performance is important for your success on the job. However, understanding your performance outcomes/expectations is not enough – you need to own your performance.

Throughout the year, employees need to track their individual performance against all of the pieces of the performance management system and periodically request feedback from their supervisors. At any point in time, an employee should have a clear picture of their performance and how it measures up against their goals, objectives, and outcomes. You can use the Performance Management Log to help you keep track.

Below are some tips for tracking your personal performance progress throughout the year.

1. Identify the key responsibilities of your role and understand how your role relates to the work-unit, departmental and organizational results.
 - Know how your work supports the achievement of the work unit's strategy by asking yourself: Why is this role necessary? How is it changing? Where are the areas of opportunity?
 - If you cannot make a link between what you are working on and the work-unit, departmental and organizational results, you and your supervisor need to reassess whether your time could be better spent.
2. Make sure your performance outcomes and development goals are also aligned with the departmental and organizational results and priorities.
3. Understand the measures that will tell you when the desired outcome/goal has been achieved. Measures should be described by level of quantity, quality, cost, timeliness, customer satisfaction, etc.
4. For each outcome/goal, consider your individual outputs and results against these measures.
 - What are the key outputs that I generate?
 - What have been my results in the past (week, month, quarter)?

- Are my results meeting, exceeding, or below expectations?
 - How do my results compare with my supervisor's expectations of me?
 - How do my results compare with my peers?
5. Ask for feedback from your supervisor.
- Share your results and ask: Are my results meeting, exceeding, or below expectations?
 - Am I meeting my deadlines and measurements?
 - Am I providing quality output?
 - Am I fostering a positive, supportive working environment?
 - Am I using my time wisely and focusing on the right priorities?
 - Are there any new challenges of which I should be aware?
 - How am I progressing on my development goals?
 - Are there any revisions that need to be made to my goals?
 - What can I do to continue to improve?
6. Ask for feedback from your team members (if appropriate).
- Am I a valued team member and contributor to the work unit or department?
 - Am I meeting my deadlines and measurements that impact team performance?
 - Am I providing quality output?
 - Am I fostering a positive, supportive working environment?
 - What can I do to continue to improve my contributions to the team?
7. Consider your outputs and results, and the feedback received from your supervisor and team members. Identify the gaps between your performance and development outcomes/goals and your individual performance to date.
- Outputs that are not meeting the desired results or require on-going focus and attention.

- Performance areas identified as needing further improvement (e.g., quality of work or meeting deadlines).
 - Development areas identified as needing further improvement (e.g. communication skills, accounting knowledge).
8. Focus on continuing improvement.
- Identify actions you can take to improve your performance.
 - Ask your supervisor for coaching and input.
9. Re-evaluate periodically.

Performance Review – Roles and Responsibilities

The following table shows the roles and responsibilities for the Performance Review portion of the Performance Management System.

Supervisor	Employee
<ul style="list-style-type: none">▪ Initiate and conduct a formal performance review discussion at least once a year▪ Encourage participation from employee during discussion▪ Summarize results of discussion in writing	<ul style="list-style-type: none">▪ Complete a thoughtful and honest self-assessment▪ Participate in one-to-one discussion with supervisor to receive feedback▪ Be open to feedback and performance review

Performance Review Process

We will follow the following process for the Performance Review. As an employee, you and your supervisor both have certain responsibilities within the process. Refer to roles and responsibilities to determine what you need to do to complete this part of the process.

Performance Review Process Steps

1. Supervisor collects relevant performance data gathered throughout the performance plan year (e.g., Performance Management Log, Progress Review Form).
2. Supervisor obtains employee's self-assessment (optional).
3. Supervisor completes Performance Management Planning and Review Form by rating each duty, universal performance dimension, and job-specific competency noted in the performance planning discussion(s) earlier in the year, and by completing the comments section.
4. Supervisor assesses how employee has progressed against development plan and completes comment section.
5. Supervisor prepares for performance review discussion by planning to cite specific examples of positive performance and behavior and, if needed, examples of areas for improvement. Supervisor engages employee in generating ideas and gaining commitment for areas that require improvement.
6. Supervisor signs performance review document and forwards to reviewer for his/her action.
7. Supervisor and employee discuss the performance review.
8. Employee signs the document for file.
9. Supervisor and employee set up meeting time for performance planning for following year.

Self Assessment Tips

Think about your performance over the year – consider what you did, move to how you got it done, both through specific tasks handled and then behavior displayed across many types of situations.

Think about each of the areas of performance as separately as you can, so your thinking in one area isn't overly influenced by your views on another area.

- Job Duties
- Universal Performance Dimensions
- Job Specific Competencies

Remember this is about your past year's performance—it's not a permanent verdict on what you'll do this coming year or what you're capable of doing. So feel comfortable to give your best accounting of what went well, and what could have gone better.

Trend is the most important idea in any evaluation; as you think about each aspect of your performance (see the previous point here!) don't let yourself be distracted or overly influenced by one incident, one time period. Instead, think about the entire year, and consider how you'd generalize or summarize your performance, in the area you're evaluating, across the entire year.

So while you need to think about specifics in order to form your opinions, don't allow one prominent event to sway your assessment too far in one direction!

Good questions to ask yourself are, "How would good feedback in this area help me?" and "What should I say about my performance that'll open the door to that type of good feedback?"

Another good approach is to consider, "In this area, how do others see me? What would they say if someone asked about my performance in this area?"

You might also think about actually asking someone, or a few people, who you trust will give you straight answers, about what they think have been your main strengths and areas you can grow in over the past year.

Write your self-assessment as an outline for a good discussion with your supervisor/team leader—ask yourself, "How can I list what I think is most important, in a brief set of notes?" One page or screen, maybe two, is typically an effective and efficient length.

It's useful to think in terms of relative high points and low points—you may have been strong in all the areas of performance, but across them where are the areas you might get even better? Or you may feel all areas have room for improvement, but among them what are your strongest areas? Which leads to....

Don't be reluctant to be proud of the things you've done, the contribution you've made to Auburn University!

Employee Tips – Receiving Feedback

Receiving Feedback

Keep it in perspective—pay attention to the main trends and themes more than the single occurrences...but do not totally disregard the single occurrences because they might provide some insight into a bigger issue

Push past the natural defensiveness you may feel when receiving negative feedback. Ask yourself what is useful about what you just heard or read

Ask for specifics and seek clarity

Assume the best intentions of the person providing you the feedback

Supervisor	Employee
<ul style="list-style-type: none">• Establish and conduct coaching sessions to enhance individual performance, compare progress to plan, and renegotiate outcomes.• Record coaching notes and results on the Performance Management Log form.• Share honest and timely feedback regarding employee's progress and performance. Recognize achievements, identify underdeveloped behaviors, leverage strength, and provide direction.• Support individual in focusing on the most important priorities.	<ul style="list-style-type: none">• Ask for, listen to, and incorporate feedback.• Request coaching and support from supervisor and others.• Take action to achieve outcomes, overcome barriers, develop necessary competencies, and access needed resources for development.• Maintain individual responsibility for growth and career development.