A Guide to the New Performance Review Form

This is a new, simplified alternative to the traditional Performance Management Planning and Review Form. The new form reflects all of the information that was on the traditional form, but in a simplified and consolidated manner.

NEW! A 5-point rating scale applies to each Job Duty, Responsibility, Position Goal, or Previously Identified Development Need, as well as to the Overall Rating for the performance year.

NEW! The “Universal Performance Dimensions” and “Job-Specific Competencies” sections are absent on the new form. Rather than rate these factors independent of the Job Duty, Responsibility, Position Goal, or Previously Identified Development Need, you should indicate one or two behaviors that have been observed or not observed. These factors contribute to the success or failure of achieving the four stated components.

Please use these guiding tips for the new form. If you have questions, contact Bill Shannon at 844-1602, or email wps0012@auburn.edu.

### Observed Behaviors
(Now integrated with results)

- Replaces Universal Performance Dimensions and Job Specific Competencies,
- Observed behavior definitions and examples by varying performance levels are available to review and/or copy and paste into the form.

### New 5-Point Rating Scale

<table>
<thead>
<tr>
<th>Rating</th>
<th>Description</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>5) Exemplary</td>
<td>Performance is consistently superior and significantly exceeds expectations.</td>
<td>Typically, in a “performance-oriented” culture, 5 to 7 percent of employees will be performing at this overall rating level.</td>
</tr>
<tr>
<td>4) Exceeds Expectations</td>
<td>Performance frequently exceeds expectations.</td>
<td>Typically, in a “performance-oriented” culture, 30 to 35 percent of employees will be performing at this overall rating level.</td>
</tr>
<tr>
<td>3) Meets Expectations</td>
<td>Performance consistently meets expectations.</td>
<td>Typically, in a “performance-oriented” culture, 50 to 60 percent of employees will be performing at this overall rating level.</td>
</tr>
<tr>
<td>2) Marginal</td>
<td>Performance meets some, but not all of the expectations.</td>
<td>Typically, in a “performance-oriented” culture, 4 to 5 percent of employees will be performing at this overall rating level.</td>
</tr>
<tr>
<td>1) Unacceptable</td>
<td>Performance consistently fails to meet the minimum expectations.</td>
<td>Typically, in a “performance-oriented” culture, roughly 2 percent of employees will be performing at this overall rating level.</td>
</tr>
</tbody>
</table>

| Observed Behaviors | Performance is consistently superior and significantly exceeds expectations for this job duty/responsibility/position goal/previously identified development need. |
|--------------------| Performance frequently exceeds the expectations for this job duty/responsibility/position goal/previously identified development need. |
|--------------------| Performance consistently meets the expectations for this job duty/responsibility/position goal/previously identified development need. |
|--------------------| Performance meets some, but not all of the expectations for this job duty/responsibility/position goal/previously identified development need. |
|--------------------| Performance consistently fails to meet the minimum expectations for this job duty/responsibility/position goal/previously identified development need. |

### Performance Review Form

- Employee’s Last Name: 
- Employee’s First Name: 
- Review Period: June 1, 2018 - May 31, 2019
- Banner ID: 
- Division Code: 

### Setting expectations:
- List as few as five and up to ten job duties, responsibilities, position goals, or previously identified development needs.

### Conducting the review:
- Add comments on how well the employee performed these pre-established expectations.
- Suggest at least three observed behaviors, preset or absent, that contributed to the resulting outcome. For suggestions, visit the Observed Behaviors website.
- Add any developmental opportunities to optimize output for the upcoming year.
- Finally, rate each pre-established expectation.

<table>
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<td>Exemplary</td>
<td>Performance is consistently superior and significantly exceeds expectations for this job duty/responsibility/position goal/previously identified development need.</td>
</tr>
<tr>
<td>4)</td>
<td>Exceeds Expectations</td>
<td>Performance frequently exceeds the expectations for this job duty/responsibility/position goal/previously identified development need.</td>
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</tr>
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<td>Performance meets some, but not all of the expectations for this job duty/responsibility/position goal/previously identified development need.</td>
</tr>
<tr>
<td>1)</td>
<td>Unacceptable</td>
<td>Performance consistently fails to meet the minimum expectations for this job duty/responsibility/position goal/previously identified development need.</td>
</tr>
</tbody>
</table>
### Performance Rating "Check-box"
Supervisor’s Performance Rating for each duty/responsibility/position goal/previously identified development need.

### "How well was this performed?"
Supervisor’s assessment and commentary on how well the employee fulfilled this requirement during the Performance Period.

### "Behaviors Observed"
Replaces the Universal Performance Dimensions and Job Specific Competencies by integrating what behaviors were observed being demonstrated, or not demonstrated, that contributed to the employee’s resulting performance outcome for this requirement, into the supervisor’s comments. Observed behavior definitions and examples by varying performance levels are available to review and/or copy and paste into the form.

### "Performance Development for 2019-2020"
Supervisor’s identification of required areas for improvement or development in the areas of knowledge, skills, and/or behaviors that would directly support or enhance the employee’s future successful performance outcome for this Job Duty, Responsibility, Position Goal, or Previously Identified Development Need.

<table>
<thead>
<tr>
<th>Job Duty, Responsibility, Position Goal, and Previously Identified Development Need</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>How well was this performed?</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Behaviors Observed</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Performance Development for 2019-2020</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

See Appendix for four examples of the subsections completed for four different jobs. They represent examples of a 1) job duty, 2) responsibility, 3) position goal, and a 4) previously identified development need. Each Duty/etc. is rated using the new 5-point scale. Each of the following requested content is completed:

Job duty/Responsibility/Position goal/Previously identified development need:
- How well was this performed?
- Behaviors Observed:
- Performance Development for 2019-2020:
### Performance Summary (attach additional pages as necessary)

<table>
<thead>
<tr>
<th>Overall Rating</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 Exemplary</td>
<td>Performance is consistently superior and significantly exceeds job duties/responsibilities/position goals.</td>
</tr>
<tr>
<td>4 Exceeds Expectations</td>
<td>Performance frequently exceeds job duties/responsibilities/position goals.</td>
</tr>
<tr>
<td>3 Meets Expectations</td>
<td>Performance consistently meets job duties/responsibilities/position goals.</td>
</tr>
<tr>
<td>2 Marginal</td>
<td>Performance meets some, but not all job duties/responsibilities/position goals.</td>
</tr>
<tr>
<td>1 Unacceptable</td>
<td>Performance consistently fails to meet minimum job duties/responsibilities/position goals.</td>
</tr>
</tbody>
</table>

#### What is the overall rating for the year?

- **Supervisor Comments:**
- **Employee Comments:**

**“What is the overall rating for the year?”**

Supervisor checks (x) the performance rating that appropriately represents the employee’s “overall” performance outcomes/results for the Performance Period. Summary comments are added as appropriate.

#### Planning Document Created:

- **Supervisor Signature:**
- **Employee Signature:**

#### Performance Review Approval Signatures:

- **Supervisor Name:**
- **Supervisor Signature:**
- **Manager (Second Level Review) Signature:**
- **Date:**

#### Performance Review Conducted:

- **Employee’s Signature:**
- **Date:**

**“Employee Signature”**

It is not required for the employee to sign the review form. Should the employee refuse to sign, the supervisor notates that fact on the “Employee’s Signature” line, initialing, and dating the note.

**“HR Liaison Validation:”**

HR Liaison reviews, validates completeness and accuracy, and checks the “Check to Validate” box with date.

**“HR Liaison Validation:”**

HR Liaison reviews, validates completeness and accuracy, and checks the “Check to Validate” box with date.

See the **Appendix** on the next page for examples of completed Job Duty, Responsibility, Position Goal, and Previously Identified Development Need.
APPENDIX
Examples for Job Duty, Responsibility, Position Goal, and Previously Identified Development Need

Example 1: Technician, Print Shop (Job Duty at “3 – Meets Expectations”)

5. Job duty/Responsibility/Position goal/Previously Identified development need: Designs, proofreads, and delivers printed materials for customers on campus on time and without errors.
   - How well was this performed? Chris met every deadline, in some cases delivering materials ahead of schedule. No items were returned for errors or quality issues.
   - Behaviors Observed: Accountable for Results: Chris demonstrated clear standards for quality results; maintains timeliness and quality.
   - Performance Development for 2019-2020: None required for this duty.

Example 2: Administrator, Program (Responsibility at “2 – Marginal”)

6. Job duty/Responsibility/Position goal/Previously Identified development need: Maintains files and records in compliance with government and University policies, processing and routing all academic forms and student documents, managing databases in various technological platforms.
   - How well was this performed? Pat has missed several deadlines and needed assistance from several colleagues to keep accurate documents and database integrity.
   - Behaviors Observed: Individual Efficiency: Pat has been regularly inconsistent in assuring data integrity, as well as providing timely and accurate information upon request.
   - Performance Development for 2019-2020: In order to improve performance in the coming period, Pat must complete a time management course by mid-performance period, as well as a data integrity course by the end of the performance period.

Example 3: Administrator, Contracts (Previously identified development need at “4 – Exceeds Expectations”)

5. Job duty/Responsibility/Position goal/Previously Identified development need: For this review year, Taylor needed to improve efficiency in processing subcontract invoices for payment and ensure that correct accounting and contractual elements are consistently in place.
   - How well was this performed? As a previously identified development need, Taylor showed dedicated and focused improvement in this area. Taylor took several classes to improve financial and contact software skills, and organized and created materials for three lunchtime learning sessions to share key learnings to members of the department. Taylor not only improved individual efficiency, but colleagues in the department look to Taylor for guidance and coaching.
   - Behaviors Observed: Technical/Professional Knowledge: Taylor now has the technical and professional knowledge to do the job at a high level of accomplishment and is knowledgeable in the best practices in the department or function. Taylor is willing and able to learn new skills and knowledge.
   - Performance Development for 2019-2020: Given a willingness to improve, Taylor will complete beginning and advanced training in SharePoint and Box by February to report to the leadership team on feasibility of adoption in the department.

Example 4: Coordinator, Grants and Contracts (Position Goal at “5 – Exemplary”)

5. Job duty/Responsibility/Position goal/Previously Identified development need: Lead Grant Monitoring Report project from inception to approval, providing recommended solutions, technologies, and operational efficiencies to ensure quality improvement and labor savings.
   - How well was this performed? For this position goal, Mo exceeded every expectation of the deans and departmental leadership. The report’s recommendation saved over $70,000. Time from application to approval decreased 30 percent and is continuing to trend downward as more administrators are trained. All this was done without additional technology investment as Mo created database shortcuts using our current system.
   - Behaviors Observed: Planning and Organization: Mo spent necessary time to properly plan and organize this project. He developed strategies to complete work by actively spending time understanding and analyzing group processes, and expertly marshalling resources to get information and staff he needed to complete and exceed the desired outcomes.
   - Performance Development for 2019-2020: Mo will attend Project Management Phase 2 in order to achieve the International Project Manager Professional Designation.