Performance Management Guidebook

Starting with the fiscal year that begins July 1, 2013, all non-faculty employees will use the Performance Management program outlined in this Guidebook.

The information contained within these manuals and training materials is meant as general guidelines for training purposes and not as policy. Please refer to http://www.nova.edu/cwis/hrd/emphanbk/index.html for NSU policy information.

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A Message from Our President

Dear Colleague:

As one of the ten largest not-for-profit universities in the nation, Nova Southeastern University (NSU) is poised to accomplish preeminence in the future. Our Vision - By 2020, through excellence and innovations in teaching, research, service and learning, NSU will be recognized by accrediting agencies, the academic community, and the general public, as a premier private not-for-profit university of quality and distinction that engages all students and produces alumni who serve with integrity in their lives, fields of study, and resulting careers.

To help fulfill this vision, we are introducing a fresh perspective to performance management beginning with fiscal year 2014. I believe that the key to achieving Vision 2020 begins and ends with all of us! As you are aware, I have sent emails over the past year informing you that NSU will be adopting a new performance management approach. The new evaluation system will focus on aligning performance goals with our vision, mission, and core values, while providing more frequent feedback and whose application is applied fairly and consistently across the University. The design of this new approach was not done in isolation, but with feedback from hundreds of employees at all levels and classifications. Examples of some of the exciting enhancements for the new approach:

- Aligning the performance year with our fiscal year, which runs July 1 – June 30
- Clearer performance expectations, with a focus on job-specific goals, our core values and people management
- A new electronic performance management form (no paper starting in 2014)
- The move to a distinct, three-point performance rating scale to allow for clear evaluation of overall employee performance
- Consistency across centers, departments and managers in the performance management process

I encourage each of you to use this Guidebook to navigate the performance management process. Although the Guidebook may seem overwhelmingly long, it is designed as a "clickable pdf," so you can go directly from the table of contents or other links in the Guidebook to the section you wish to review.

Thank you. You are NSU!

Sincerely,

George L. Hanbury II

George L. Hanbury II, Ph.D.

How This Guidebook is Organized and How to Use It

The Performance Management Guidebook includes overview information on performance management (what it is, why we are doing it, and why it is important) and then provides specific guidelines and tips for effectively conducting the three key phases of the performance management process:

1. Cascade and Align Performance Goals and Expectations,
2. Coaching, Feedback, and Development, and
3. Year-end Assessment, Feedback and Rewards.

Within each of the three key phases you will find the following sections:

- Overview
- Foundation requirements for this phase
- Key outcomes expected
- Roles and responsibilities (employee, manager, and manager's manager, as relevant)
- Guidelines, tools and templates for success

To navigate the Guidebook, you can click on any highlighted link to jump to that section.

This Guidebook includes checklists, action steps, tools and other resources intended to help employees and managers with performance management activities, but they are not required to be used. They are indicated by the following icons:

Checklist

Steps/Required Actions

Tool

To provide feedback and suggested improvements to future editions of the Guidebook, please contact OHR at HR4U@nova.edu

For convenience, all forms illustrated in the body of the Guidebook are also included in the Tools section, so you can save them or print them out for your personal use.

Please note that this Guidebook is a "dynamic" document.

We will continue to update it as new information becomes available. In addition, we will remove outdated information. Please check back periodically for new editions with the most current information.

Performance Management and NSU's Vision 2020, Mission and Core Values

Performance Management

Performance Management is one of the key building blocks of a high performance culture. It is the systematic process by which NSU involves its employees, as individuals and as team members, in ensuring accomplishment of the University's goals. Performance management includes:

- Setting performance goals and expectations
- Continually monitoring performance
- Developing the capacity to perform
- Evaluating and differentiating performance through next-level manager review and alignment meetings
- Rewarding performance

We recognize that effective performance management practices – on the part of the employee and the manager – can help us accomplish Vision 2020.

As a University, we aspire to:

- Instill a high performance culture uniformly across the University
- Ensure consistency in policy and practices
- Ensure completion of the Performance and Development Form to inform sound decisions
- Provide resources to build manager capability

As a foundation to accomplishing our aspirations and creating a performance culture, we are establishing individual accountability and differentiation between employees based on what they contribute to NSU.

As a signal of the importance that our President and senior leaders attach to performance management, we will be setting new standards and expectations starting with the 2013-2014 fiscal year, which starts July 1, 2013:

- **For fiscal year 2013-2014, all non-faculty employees will have goals set by September 15**
- **We will provide the training and tools necessary to enable managers to conduct meaningful performance reviews**
- **Our process will be fair, equitable, simple and consistent**

2020 Vision

By 2020, through excellence and innovations in teaching, research, service and learning, Nova Southeastern University will be recognized by accrediting agencies, the academic community, and the general public, as a premier private not-for-profit university of quality and distinction that engages all students and produces alumni who serve with integrity in their lives, fields of study, and resulting careers.

Mission

The Mission of Nova Southeastern University, a private, not-for-profit institution, is to offer a diverse array of innovative academic programs that complement on-campus educational opportunities and resources with accessible distance learning programs to foster academic excellence, intellectual inquiry, leadership, research, and commitment to community through engagement of students and faculty members in a dynamic, life-long learning environment.

Core Values

The University recognizes eight Core Values that must be exemplified by each employee in order to reach Vision 2020. Each core value has been defined as "behaviors" that are critical for each staff member to demonstrate, and have been incorporate in to the performance management process. Our core values include:

Core Value	Definition
1. Academic Excellence	▪ Provides top quality resources and services to support academic excellence ▪ Identifies issues that might affect academic excellence and escalates them to the appropriate stakeholder(s) or, if appropriate, participates in designing/implementing solutions ▪ Supports a culture and environment that fosters learning
2. Student Centered	▪ Treats students with respect and dignity ▪ Actively listens to and is responsive to students' questions and/or concerns in a timely manner, regardless of mode of communication ▪ Encourages and, when applicable, incorporates students' input
3. Integrity	▪ Adheres to policies and practices in order to service stakeholders with honesty and fairness ▪ Demonstrates fiscal responsibility and operates as a steward of NSU's resources ▪ Openly admits mistakes and takes actions to correct situations or change behavior ▪ Holds self accountable for making principled decisions

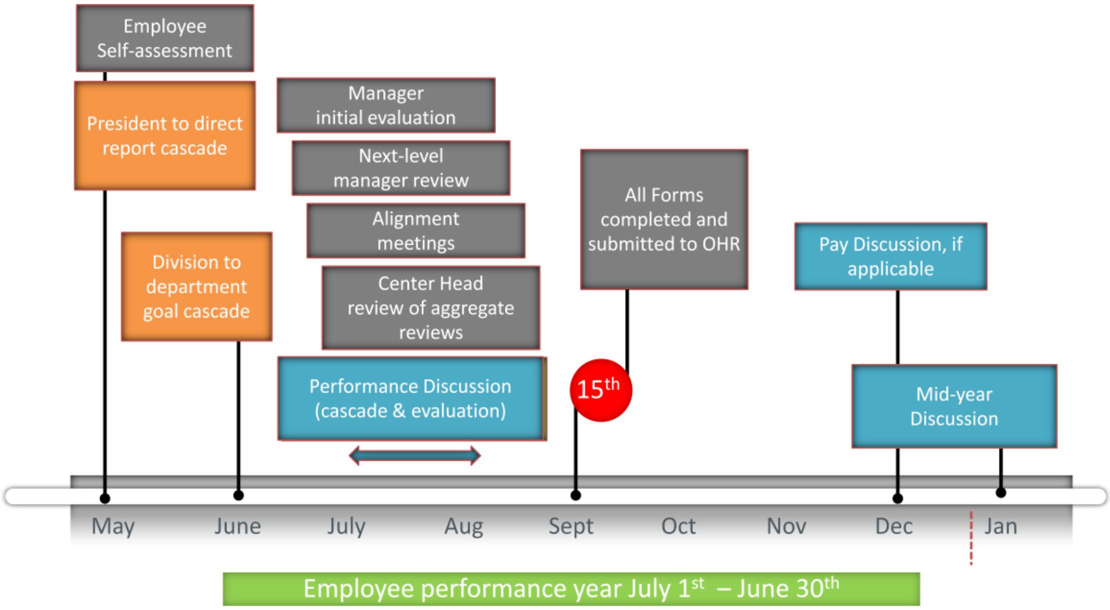
Core Value	Definition
4. Innovation	▪ Asks questions and constructively challenges existing processes and assumptions with novel, creative ideas ▪ Embraces change, when appropriate, and takes on new challenges ▪ Seeks, accepts and builds upon constructive feedback to develop novel and improved ideas ▪ Supports an environment and culture among cross-functional teams to foster creativity
5. Opportunity	▪ Seeks and participates in additional learning opportunities inside and outside his/her area of responsibility ▪ Demonstrates initiative to enhance learning opportunities for professional growth and development ▪ Acts as a role model to demonstrate growth, competence and professionalism
6. Scholarship/ Research	▪ Maintains awareness and understanding of the role of NSU's activities in scholarship and research ▪ Supports a culture and environment for scholarship/research ▪ Pursues new information and makes improvements based upon this knowledge
7. Diversity	▪ Complies with all NSU workplace policies including federal, state and local ▪ Listens to all internal and external stakeholders' opinions and points of view ▪ Intervenes promptly when inappropriate behavior occurs and/or refers observed inappropriate behavior to the appropriate personnel
8. Community	▪ Serves as an NSU ambassador by representing the University in a professional manner when engaging with the internal and external community ▪ Shares information readily with others and responds to questions appropriately (or refers them to the appropriate personnel) to promote community engagement ▪ Demonstrates commitment to the University through his/her actions and interactions within the internal and external community

Performance Management Overview

Creating a high performance culture that expects and rewards strong performance is essential to our future success and, in turn, an integrated approach to managing individual and team performance across the University. As one of the key building blocks of a high performance culture, performance management at NSU strives to:

- Cascade our University objectives in order to clearly align individual and department/division goals and expectations
- Provide candid and frequent coaching and feedback
- Help facilitate development
- Help facilitate year-end assessment and feedback
- Recognize and reward strong performance

The ongoing performance management cycle



What's changing for Fiscal Year 2014

While the performance management approach at NSU will be very different going forward than it has been in the past, here are the key changes that you can expect:

- Alignment with the fiscal year, which runs July 1 – June 30
- A drive for clarity and consistency in performance differentiation and measurement of performance contribution by:
  - moving from a four-point, continuous rating scale (with decimal points between) to a three-point rating scale
  - providing a guided distribution target (i.e., 20 – 30% of employees can be rated Exceptional Contribution) based on overall performance expectations for the University
  - year-end next-level manager review and alignment meetings between managers and the manager's manager to ensure alignment on performance expectations, and eliminate the tendency for "easy" or "hard" graders
- Increased clarity and consistency by aligning the distribution of reward dollars with the appropriate performance rating, when funds for pay adjustments are available
- An enhanced performance and development form to capture goals, mid-year and year-end assessments, and professional development commitments

Here is a closer look at each of the changes.

Performance Ratings & Guided Distribution Target

We have moved to three distinct performance ratings, rather than the previous continuum of up to four ratings. We have modified the definitions accordingly to provide additional clarity on what performance at each level "looks like." In addition, NSU expects that 20 – 30% of employees across NSU will receive the Exceptional Contribution rating. While this is not a "hard and fast" number, we generally believe that this reflects our new focus on "raising the bar on performance" to accomplish Vision 2020.

Performance Rating	Definition
Exceptional Contribution	**Frequently exceeded expectations**. Employee was an exceptional contributor to the success of his/her department and NSU. He/she demonstrated role model behaviors
Successful Contribution	Consistently **met expectations and occasionally exceeded** expectations. Employee was a solid contributor to the success of his/her department and NSU

Performance Rating	Definition
Unsatisfactory Contribution	Delivers **inconsistent contributions.** Improvement is needed to accomplish expected results. If the overall performance rating is Unsatisfactory Contribution, the employee will be placed on a Performance Improvement Plan with a follow-up review occurring as specified by the supervisor

It should be noted that employees who receive an overall rating of Unsatisfactory Contribution category will be required to be placed on a Performance Improvement Plan (PIP). Manager should contact OHR for assistance with current forms before completing the PIP.

Distribution of Reward Dollars

It is NSU's desire that, when there are available funds, we will provide performance-based merit increase to employees. Availability of funds is driven primarily by enrollment numbers.

NSU is committed to rewarding strong performance, which includes those employees who demonstrate on-target performance and those who exceed on-target performance. It also includes rewarding employees demonstrating an Exceptional Contribution more than employees receiving the Successful Contribution rating because of their relative contribution.

We are also focused on ensuring that our employee's salaries are aligned with the market and are in the process of reviewing NSU's market competitiveness. This review includes comparing NSU's pay rates for our jobs to other companies and academic institutions that have similar jobs.

Our roles in performance management

We want to bring new energy and value to the performance management process so we're introducing new guidelines and tools. But the heart of the process is the partnership between employees and managers. To be clear:

- **Managers** are expected to coach, guide and provide high-quality feedback. Managers are ultimately accountable for ensuring each employee has a current performance management form, which outlines performance expectations for the current year. They are also accountable for documenting and supporting initial assessments going into next-level manager reviews and alignment meeting discussions. Managers will be measured and evaluated on how effective they are at people management.

To ensure the right level of focus and attention is placed on performance management – going forward, it is our intention that any manager who does not have a current Performance Management Form for each of his/her employees will not be eligible for any distribution of additional reward dollars for the current performance year.

- **Employees** are expected to take accountability for their own performance, understanding and achieving their goals and assessing their own strengths and at year-end, seeking feedback. They are accountable for completing a self-assessment and providing this evaluation to his/her manager.

As a University we have clear standards for academic excellence and operational efficiency, so our President and senior leaders are now introducing the same rigor to our performance management process.

It's fundamental to our commitment to differentiate between levels of performance contributions. Because of this we are adopting a process of next-level manager reviews and alignment meetings which is how we compare the performance of individual employees to their peers. This helps us to more clearly define differences in contributions and rewards.

How managers and employees are affected

Our approach to performance management is simple – when each employee adds value to the University; they, in return, receive value through rewards, career development and learning opportunities. The table on the following page shows some of the key advantages of the performance management process:

Manager	Employees
▪ Align the effort of your team with the goals for which you are held accountable ▪ Communicate your expectations ▪ Provide an opportunity and process for giving clear feedback about what you expect, what employees are delivering and the gaps ▪ Ensure each employee has an up-to-date form ▪ Document and reward strong performance and address unacceptable performance appropriately ▪ Allow compensation and development opportunities to occur based on performance	▪ Participate in the dialogue between you and your manager on what is expected and how performance is measured ▪ Promote understanding of how your work contributes to the accomplishment of departmental/division goals ▪ Allow you to provide input into your own goal-setting and evaluation ▪ Be rewarded for your performance through compensation and development opportunities

We all have specific roles in the process. Specific expectations include:

- **Senior Leaders** – Act as a role model and champion for NSU's performance management principles; actively use the process. Maintain a clear understanding of critical talent, where they are and how they are being developed. Use performance management tools and resources in discussions with direct reports.
- **Managers** – Actively provide coaching and feedback; discuss performance with your employees during formal and informal discussions throughout the year. Use new tools and resources; ensure each employee has an up-to-date form (align goals during performance planning and results during year-end process). Schedule year-end discussions. Be receptive to employees' inquiries regarding performance – provide coaching and feedback. Encourage development throughout the year.
- **Employees** – Fully understand, take ownership of, and take action on your performance. Understand University's objectives and align individual goals accordingly. Proactively, prepare for performance discussions with your manager by completing your goals, self-assessment and "taking stock" of capabilities (strengths and development areas). Maintain an up-to-date Performance and Development Form.
- **Office of Human Resources (OHR)** – Support managers and employees so they can effectively engage in performance management. Drive integration of performance management with other core University and OHR activities. Regularly evaluate performance management success metrics and make adjustments accordingly.

Phase 1: Cascade and Align Performance Goals and Expectations

Overview

Each year, the performance planning meeting starts the annual performance process. This one-on-one meeting is an important opportunity for you and your manager to identify clear expectations about what you are accountable for accomplishing in the coming year, as well as how you plan to accomplish those goals.

Career Level	Core Values	Goals	Other
People Managers	25%	Annual Goals 25%	People Mgmt 50%
Professional	25%	Annual Goals 50%	Principal Responsibilities 25%
Technical / Associate	25%	Task Goals 75%	N/A

Goals

The goals that are set for an employee will depend on their type of employment classification, exempt or non-exempt.

- Exempt employees: Typically include executive, manager and professional jobs. These types of employees are in jobs where "goals" are typically set on an annual basis (goals that change year to year), focusing on specific performance results expected to be achieved by the employee in the job. These goals will be set on an annual basis and will align with the University's fiscal year. These goals are required to follow SMART criteria, which is further defined later in this section.

- Non-exempt Employees: Typically includes technical and associate jobs, and includes approximately 425 NSU jobs. These types of jobs tend to be accountable for accountabilities and tasks that do not change year to year; therefore, these jobs will be assigned "task goals," which will be the same for similar jobs across the University (e.g., Administrative Assistant) regardless of location/center. The task goals that are specific to a job will be in the job descriptions, which can be obtained from the job's manager or from OHR.

Core Values

Each employee will be accountable for demonstrating the University's eight core values, which are listed below:

1. Academic Excellence
2. Student Centered
3. Integrity
4. Innovation
5. Opportunity
6. Scholarship/Research
7. Diversity
8. Community

Each core value is defined by three to four critical behaviors, which can be found on pages 5 and 6 of this Guidebook.

People Management

Each person who directly supervises one or more employees will also be accountable for demonstrating strong people management skills (i.e., providing feedback, evaluating performance, etc.). The specific components of people management include:

1. **Conducts individual goal-setting and progress meetings:** Partners with each direct report to set/review performance expectations aligned with NSU's mission and strategic plan; monitors progress and sets direction throughout the year focusing employees on goal attainment and successful demonstration of NSU Core Values

2. **Coaches for success:** Provides ongoing, constructive and balanced feedback (both strengths and areas for improvement) to support further development within job and potential future jobs; consistently monitors progress and provides suggestions for future success

3. **Shows managerial courage:** Makes informed judgments of performance during the year and at year-end evaluation; ensures clear differentiation between performance levels of employees; takes quick action on poor performance

4. **Differentiates rewards:** Leverages recognition and reward systems commensurate with individual and team performance levels

5. **Champions talent development:** Inspires development of internal talent; targets challenging developmental assignments that build required capabilities; enjoys watching others make progress and provides the necessary support; implements team learning processes and ensures internal knowledge transfer and skill building

6. **Identifies talent gaps (Managers of managers only):** Determines the mix and level of talent required to support current and future objectives; assesses key strengths and skill gaps of current talent pipeline

7. **Recruits strategically (Managers of managers only):** Attracts and recruits internal and external talent to ensure the University will be appropriately staffed to meet current and future goals and challenges

Managers will be trained in "how" to do this well in advance of being evaluated on it, and can seek additional support from his/her manager and OHR on how to effectively manage people.

Linking Performance Expectations and Compensation Outcomes

The performance expectations (goals, core values and people management) you set at the beginning of the year will ultimately be used to measure your performance at year-end. And, if funds are available, the performance you deliver will impact your merit increase and any pay adjustments you receive.

STEPS

Follow these steps to establish goals that set your course for success:

1) Review University and Department/Division Goals and job requirements with your manager. Also consider any goal-setting comments from your performance discussion with your manager
2) For exempt employees, draft SMART goals that describe what you expect to achieve, entering goals into your Performance and Development Form. For non-exempt employees, review your Task Goals, which are noted on your Performance and Development Form. If they are not currently on the Form, you can obtain a copy from your manager or OHR
3) Discuss your goals with your manager. Agree to your goals and discuss how you will achieve them
4) Refine your goals on your Performance and Development Form, as needed

Please note that some of these steps can run concurrently – and that they are not as linear as shown. So for example, you as an employee may be setting goals before you see University and Department/Division Goals, or team goals from your manager.

Timing

Formal goal-setting will start in July 2013 after the Leadership Team communicates the University goals to each department/division. However, you will start to consider what goals you will focus on during your one-on-one performance discussion with your manager. Managers and employees should set goals for the New Year by identifying areas that are aligned with and help support the two. Our Fiscal Year 2014 goals will be communicated to all employees by your respective department/division leadership team and if you have not heard about them yet, you will soon. Regardless of the specific goals, each Core Value will remain a priority for each employee. Goals for Fiscal Year 2014 will need to be drafted, reviewed with your manager, and entered on your form no later than August 31.

Foundation Requirements for This Phase	▪ Knowledge of University and Department/Division goals ▪ Insights from manager on how University goals cascade to his/her Department/Division goals
Key Outcomes Expected	▪ Exempt Employee has drafted individual goals on the Form that: – Align with University and Department/Division goals, and – Reflect “SMART” goal-setting criteria. ▪ Non-exempt Employee has reviewed their task goals on the Form ▪ Manager has: – Reviewed and signed off on employee’s drafted goals (exempt employees only), – Confirmed alignment with University and Department/Division goals, and – Reviewed and discussed necessary changes with employee. ▪ Employee and manager have participated in a formal performance discussion and signed-off on goals on the Form.

Roles and responsibilities (employee, manager, and manager’s manager)

Whatever your role in our organization, you have ownership for your performance. Therefore, everyone at NSU is accountable for leading and actively participating in the performance management process.

At the same time, managers are equally accountable for clearly communicating expectations, monitoring performance, providing ongoing feedback and coaching and assessing results against agreed upon standards. Below are the goal-setting accountabilities for each stakeholder group; however, note that some activities may be completed concurrently:

Employee	Manager	Manager's Manager
Exempt 1) Access a new form for the current year and draft goals 2) Send notification to manager that goals are ready for review 3) Prepare for and actively participate in the performance discussion with your manager **Non-Exempt** 1) Review task goals 2) Prepare for and actively participate in the performance discussion with your manager	1) Communicate University and Department/Division goals to employees so they can ensure alignment of their own goals 2) Schedule and conduct performance discussion. Finalize goals for exempt employees 3) Sign off on Forms	1) Ensure each manager understands the University and Department/Division goals and how they translate into individual employee goals

Making the most of goal-setting

Below is a checklist of to-do's to ensure that you make the most of this opportunity and collaborate with your manager effectively:

- ☑ Review goal-setting resources in this Guidebook.
- ☑ Review the University and Department/Division goals to understand the objectives for the coming year.
- ☑ Review your team's objectives, which will be provided to you by your manager.
- ☑ Exempt employees: create a new Form for the new performance year. On the new Form, draft SMART goals for your individual performance in the coming year.
- ☑ Meet with your manager to review your goals and gain approval.
- ☑ As needed, refine your goals on your form no later than August 31. All goals should be finalized on your Performance and Development Form.

Note: You should plan to revisit your Performance and Development Form during the year to document your performance against your goals and any changes to the goals.

- ☑ Deliver on your goals.

Guidelines, tools and templates for success

Setting goals that align with University and Department/Division Goals

Each employee's performance is critical to the success of NSU, and the goals you set should reflect University and Department/Division goals.

The first step in the goal-setting process is to understand how your role can contribute to NSU's success.

NSU measures its success by meeting or exceeding annual targets defined by the University and Department/Division.

You and your manager should discuss University and Department/Division goals to set the context for planning your individual goals and creating a "clear line of sight" between the two.

University and Department/Division Goals

Team Goals

Your Individual Goals (4 – 8 SMART Goals)

Goals should define results you will achieve. Work with your manager to set four to eight SMART (Specific, Measurable, Ambitious and achievable, Relevant, Time-bound) goals:

S	**Specific**	Who, what, when, where? For example, does it state what is to be accomplished? "Improving customer service" is too vague.
M	**Measurable**	How will you know whether or not the goal has been achieved? Can the performance expectation be quantified and assessed? If not, what qualitative methods will capture goal achievement?
A	**Ambitious but Achievable**	Is the goal challenging, but within reach if the individual is committed and performs effectively? What constraints might affect performance and have they been allowed for?
R	**Relevant**	Are you clear about the short- and long-term goals and strategies? Does the individual's goal align with the University and Department/Division goals? Does the goal consider the individual's customers and their requirements/needs?
T	**Time-bound**	What deadlines need to be met? Are there any key milestones during the course of the project which must be met if the overall goal is to be achieved?

Examples of SMART Goals:

- Reduce maintenance costs by 5% by the end of the year through implementation of a more frequent maintenance schedule and other programs designed to decrease down time and parts inventory
- Increase customer satisfaction by 5% or be at or above the 90th percentile by mid-year (as measured by the employee customer satisfaction survey) through continuous customer communication and proactive issue resolution

Different goals for different types of jobs

There will be two types of goals used at NSU going forward – Annual Goals and Task Goals; however, each job only has one type of goal. Annual goals are used for exempt jobs and are typical for all manager-level jobs and most professional-level jobs. These typically have expected results that change year-to-year, requiring thoughtful review of the manager's and team's objectives and drafting of individual goals that align with these expectations. In most cases, success for these goals is quantitative in nature.

Non-exempt jobs, approximately 425 jobs across the University, will have goals that are "task" driven. They don't change from year to year. Administrative Assistant and Coordinator are two examples of roles for which goals are more "task" oriented. Typically, they are a reflection of the individual's job description. OHR has met with leadership and managers to examine the roles reporting to him or her to determine if task goals are appropriate. Managers may find that task goals are appropriate for some jobs while not for other jobs that report to him or her.

Some questions to consider when setting SMART goals:

1. **What "data" or information will my manager or I look at to determine if I have successfully accomplished the desired results for this goal?**
2. **Does this goal require me to go beyond past expectations and "stretch" to accomplish more?**
3. **Are there resources that I do not have today that I will need in order to successfully accomplish this goal? If so, what are they?**

Either approach to goal setting – Annual Goals or Task Goals – need to adhere to the SMART goal criteria.

Aligned goals – the cascade from University to individual goals

All individual goals should be aligned to a Department/Division goal. As a manager, it is your responsibility to discuss Department/Division goals with your employees. You will explain the linkage between those goals and those of the employees reporting to you. As a reminder, the goal-setting process is not necessarily linear so you may draft goals before you have a clear understanding of the University or Department/Division goals.

Sample cascaded goals are shown on the following page.

CASCADED GOALS: EXAMPLE 1 – LIBRARY

Strategic Priority #1:
Enhance Student Performance/Engagement/Retention

Library Goal (Division Goal):
Expand library instruction across curriculum to enhance student competencies relative to library, learning resources, and research

Director of Reference Goal:
Provide direction to team on what instructional training will be needed, including messaging, information and requirements (i.e., integration of testing, length of time, etc.).

Reference Librarian 1 Goal (Job Goal):
Develop undergraduate instructional video on Database ABC. Video will need to be approximately 10 minutes in length, be engaging to users and test knowledge of Database ABC through a short test integrated into the video (either at the end or throughout). Will need to test video with a small sample of end-users, make refinements to the video based on feedback and finalize video for final review by the Director of Reference no later than August 15, 2014.

CASCADED GOALS: EXAMPLE 2 – INFORMATION TECHNOLOGY

Strategic Priority #6:
Enhance Targeted Recruitment, specifically increasing Undergraduate enrollment to 7, 100 students in 2015 and 8,000 students in 2020

IT Goal (Division Goal):
Rebuild image of NSU's Web presence on nova.edu and the Websites associated with it so that it enhances the branding of NSU and directs prospective students and their families to the most relevant and compelling information

IT/Development Manager Goal:
Focus team on Phase 1 activities, which includes rebuilding the baseline architecture for the top 64 Web pages that prospective students and their families use when coming to nova.edu

Web Developer Goal (Job Goal):

Develop new baseline Web pages (top 64 pages) to support new University goals. Create recommendations and storyboards based on gathering insights from other benchmark Universities' Websites. Test Web page content with a sample of end-users (University and high school students), make refinements to the storyboards based on feedback and finalize content for final review by the Chief Technology Officer no later than November 15, 2012. Make revisions to storyboards based on the CTO's feedback from the NSU Executive Team and build pages by February 28, 2013.

Document your goals on your Performance and Development Form

Starting in July 2013, all exempt employees should document your goals on your Performance and Development Form in advance of your one-on-one performance planning discussion with your manager. A copy of the Performance and Development Form can be found on pages 67 to 92 and an electronic copy can be found on NSU's OHR website.

Performance discussion agenda and tips for meeting preparation and follow-up actions

The purpose of the performance discussion is twofold – a look back at last year's performance and a look forward at the coming year's performance expectations. In the look ahead, the focus is for you and your manager to collaborate on creating your goals and documenting them on the form.

Meeting Preparation Checklist – Manager and Employee

Manager	Employee
1) Prepare and share in advance information on University and Department/Division goals and any key strategies, initiatives or projects planned for the year. 2) Prepare your own goals and share them with your employees in advance so that they can effectively draft their own goals. 3) Request your exempt employee's draft goals in advance of the discussion and send to you for review. For non-exempt employees, review their task goals, which are specific to their job. If you need a copy of these, please contact OHR. 4) Review the employee's goals before you meet. 5) Schedule the performance planning meeting, allowing one hour for the discussion. Prepare a comfortable environment (perhaps reserve a room outside of your office) with no interruptions.	1) Gather existing data in advance to help you draft your goals (i.e., University and Department/Division goals, future business direction, your manager's goals and your prior year's goals, if relevant). 2) Exempt employees: Draft your goals on your form and send to your manager prior to your goal-setting discussion. Non-exempt employees: Review your job's task goals. 3) Prepare a list of questions and/or concerns to discuss with your manager.

Note: The Meeting Preparation Checklist above is a guideline and some steps may not occur as linear as indicated. For example, preparing manager goals and sharing them with employees may not be possible to do in advance of an employee setting their own goals.

Meeting Agenda – Manager Checklist (note that this focuses on the goal setting / performance expectations part of the conversation)

Step	Action
1	Communicate that you are glad to have opportunity to clearly define goals for the coming year and communicate expectations for performance.
2	Discuss how NSU views the importance of employee performance in driving business results and in contributing to University and Department/Division goals. Ensure clear understanding of the overall University direction.
3	Encourage the employee to actively participate in the goal-setting portion of the performance discussion. Both the manager and the employee should ask questions, propose suggestions and provide feedback.
4	For meetings with Exempt employees: Provide feedback on the goals drafted by the employee and agree on any necessary modifications. ▪ Ensure all objectives are aligned with the overall University direction and your goals. ▪ Ensure that each goal is targeted at the Successful Contribution performance category. ▪ Make sure each goal is SMART. For meetings with Non-exempt employees: Review task goals and ensure understanding of performance expectations and how they apply to the employee.
5	Explain that you expect them to perform successfully against the goals that have been established, fully meeting the agreed upon targets.
6	Provide support to the employee without removing accountability.
7	Ask the employee, as you move forward during the performance year, to share with you if changes to the form and goals are needed. ▪ Ask the employee to actively identify barriers or issues that come up that may inhibit them from meeting their goals. ▪ Remind the employee to ask for feedback from you and others, if appropriate, throughout the year and to take an active role in monitoring his/her own performance.
8	Establish a schedule for routine progress review.
9	Acknowledge the employee’s work in completing the draft goals in the form and participating in the discussion.

Meeting Guidelines — Employee and Manager

- **Both**: Plan on spending an hour in the performance discussion. About 20 minutes of the meeting should focus on performance expectations (including goals), while the remaining 40 minutes should focus on year-end performance feedback.
- **Both**: Listen to one another and discuss the purpose of the performance planning meeting.

- **Manager**: Provide constructive feedback on the goals drafted by the employee, ensuring that the goals follow the SMART goal criteria (Exempt employees only).
- **Both:** Confirm mutual understanding of the goals and expectations set for the coming year.
- **Both:** Discuss any barriers they feel might inhibit the employee's ability to meet his/her performance goals, and the manager should offer suggestions on overcoming such barriers. As appropriate, identify and discuss key customers and/or others who may impact goal achievement.

Changing goals during the year (exempt employee jobs only)

Goals can be changed during the course of the year if they are no longer relevant to the employee's job. For example, if a department reorganizes and responsibilities shift, goals may need to be revised partially or entirely in order to reflect the responsibilities of the employee in his or her current role.

Your manager, as of September 15 each year, will be expected to sign-off on the performance expectations documented on your Performance Development Form. If he/she has not been your supervisor for the entire year, it is their responsibility to gather feedback from others so that he/she can provide an accurate assessment of your full year's work.

Note: As a rule of thumb, employees and managers should not change goals following the mid-year review discussion (January) to allow adequate time for the employee to achieve the goal before the year-end evaluation.

Meeting Follow-up Actions – Manager and Employee

Manager	Employee
1) Approve goals noted on the employee's Performance and Development Form 2) After the employee enters/refines the goals on their Form, confirm alignment with other managers' expectations for their employees that are either in the same job or similar roles and similar levels	1) After you and your manager agree to your goals, record any changes on your performance management form 2) Revisit your form throughout the year, at mid-year and at year-end to track and record performance.

Phase 2: Coaching, Feedback, and Development

Overview

Performance management is a process, not an event. An extremely critical part of the process is the coaching, feedback and development that occurs after formal goal-setting discussions and before year-end discussions. Both manager and employee play an important role during this process. We expect managers to provide ongoing feedback so employees always know how they are doing against goals, while employees are expected to seek out feedback about their performance – from their manager and other key “customers.” Driving successful accomplishment of the employee’s goals is a cornerstone to this phase.

Feedback is important because it:

- Clarifies links between University and Department/Division goals and individual performance
- Tracks progress against expectations
- Provides opportunities to update or change expectations, if appropriate
- Identifies how results and behaviors can be improved
- Eliminates “surprises” during the year-end performance review
- Provides a way to offer input from multiple sources

Foundation Requirements for This Phase	▪ Employee individual goals entered on their Form that have been signed-off by his/her manager ▪ Manager has provided the employee with informal feedback throughout the first half of the year. Feedback provided gives the employee a clear understanding of his/her strengths and development areas ▪ Employee has completed self-assessment
Key Outcomes Expected	▪ Employee has updated his/her Form with performance results through mid-year ▪ Manager has held a formal mid-year review discussion (January) with each of his/her employees. Mid-year discussion provided a summary of the employee’s strengths and development areas based on the employee’s performance during the first half of the year ▪ Manager has clear understanding of employee’s career aspirations, if relevant, and has communicated to the employee about how their aspirations align with University needs and employee’s personal strengths and development needs. Identify specific development actions, as appropriate

Roles and responsibilities (employee, manager, and manager's manager)

Employee	Manager	Manager's Manager
1) Track progress against goals 2) Calibrate with manager on changing priorities and update goals if University priorities shift 3) Ask for ongoing feedback and coaching 4) Identify and request needed resources 5) Schedule mid-year discussion (if your manager has not already done so) 6) Prepare for the mid-year review prior to the discussion	1) Provide support and resources for employee to achieve goals and to develop 2) Provide ongoing feedback and coaching 3) Schedule, prepare for and conduct formal mid-year review discussion	1) Encourage each manager to provide ongoing coaching and feedback to his/her employees 2) Provide coaching and feedback to each manager on how well they are (or are not) "doing" performance management

Guidelines, tools and templates for success

Monitoring performance – Manager tips

Managers must monitor the performance of employees throughout the year. In order to assess the employee's performance as accurately and fairly as possible, the manager should:

- Review patterns of behavior; look for trends to review progress, not singular events
- Compare the employee to a set standard of performance expectations; compare all employees similarly
- Fight first/last impressions
- Don't let good/bad behavior in one area color your perceptions about other areas
- Get multiple perspectives and look for results
- Keep notes during the year on employee accomplishments (use the Ongoing Feedback Summary Form)
- Avoid common feedback errors

Common Feedback Errors to Avoid

Halo Effect:	**Assuming that the employee is strong in a particular category because he/she is strong in others**
Mirror Image:	**Giving blanket high marks to employees that think and act like you**
One Experience Effect:	**Allowing one negative observation to overshadow subsequent positive ones (or vice versa)**
Primacy:	**Most of the review is based upon events that occurred early on**
Recency:	**Most of the review is based upon events that occurred during the last few weeks**
Systematic Leniency:	**Placing everyone at the upper end of the scale; allows for minimal differentiation**

As a manager, to avoid the feedback errors listed above, note your observations throughout the year, being as descriptive as possible.

Using an Ongoing Feedback Summary Form, like the one shown on the next page, to capture employee performance information throughout the year can be helpful. Doing so will make the mid-year and year-end review go more smoothly since you will already have a summary of the employee's performance.

Be sure to indicate the goal from the Form that is relevant to the performance you are referencing. In the notes section capture relevant information about the situation itself, specific actions/behaviors and results.

Ongoing Feedback Summary Form

Ongoing Feedback Summary Form		
Employee Name: ______		
Performance Year: ______		
Date	**Relevant Goal**	**Notes Regarding Employee Performance**

Observing performance

As a manager, one of the best ways to determine if an employee is accomplishing his/her goals is to directly observe their performance. Depending on the job, this may include participating in a meeting the employee is facilitating or watching them perform a job using a piece of equipment on campus. How do you become a better observer of performance? The "do's and don'ts" listed below can guide you:

Observation Do's	Observation Don'ts
▪ Try to eliminate preconceived ideas before starting your observations of your staff	▪ Begin with a strong expectation of what you expect to see
▪ Collect multiple observations from different vantage points (see Asking for feedback and Gathering multi-source feedback)	▪ Draw major conclusions from a very small and/or biased sample of observations
▪ Take good notes, including quotes from key conversations, and collect important facts (use the Ongoing Feedback Summary Form)	▪ Try to commit everything strictly to memory
▪ Keep systematic track of your observations that surprise you or contradict your prior beliefs	▪ Seek and record data primarily to prove a pre-existing hypothesis
▪ Engage in active listening	▪ Ask leading questions

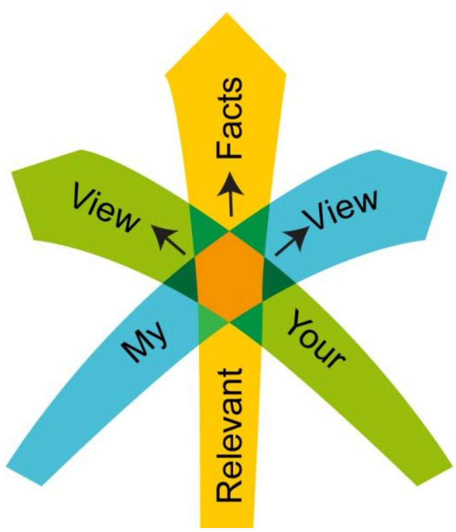
Feedback planning

Before having a conversation with an employee about their performance – either as an informal conversation or formal mid-year or year-end discussion – take time to plan what and how you want to share the feedback so you can ensure the best outcomes from the discussion. In planning for your discussion, note that conversations include three critical components: your view as the manager, the employee's view, and the facts about or performance that is delivered (or not delivered). Since one of the objectives of performance feedback is to drive strong employee performance, it is important to find alignment between these three critical components.

Consider the intersection of these perspectives. One way to assist in arriving at the intersection is to consider "SBI" – Situation/Behavior/Impact. Ask yourself:

- What was the Situation?
- What did the employee do (the Behavior)?
- And what was the Impact (outcome based on what the employee did)?

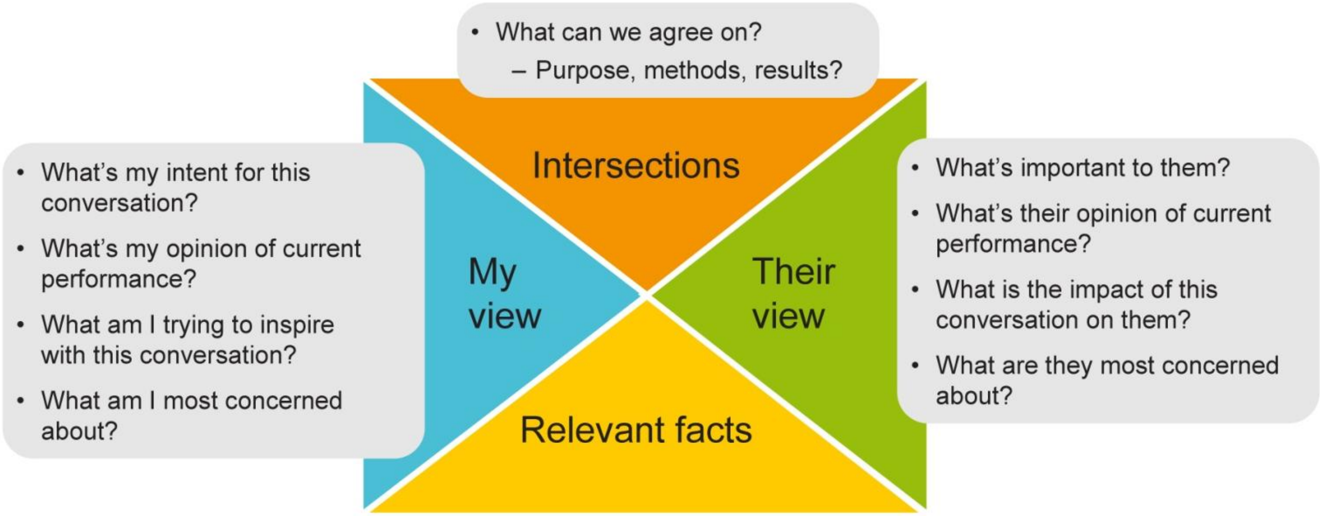
Opportunities for aligned action are found at the intersection



Performance conversations that are fact-based based and purpose-driven result in self-supervising, coordinated action

Conversation Planning Key Questions for Managers

To prepare for any feedback discussion, take the time to respond to the following questions. Doing so can ensure that you have a meaningful coaching and feedback discussion that both you and the employee will find valuable and actionable.



Common reactions to feedback

As a part of feedback planning, consider how you expect the employee to react and respond to your feedback. Are they expecting the feedback or will they be surprised? Will they agree with it – good or bad? Will they accept it? Anticipating how an employee will react can help you plan what and how you are going to deliver the feedback so you can have a better outcome.

- Common reactions to feedback include:
  - The arguer: "It didn't happen that way."
  - The blamer: "It's not my fault."
  - The dismisser: "That isn't that important."
  - The emoter: "How dare you?"
  - The silent type: "…"
  - The grinner: "Whatever."
- Some are active: arguer, blamer, dismisser, and emoter
- Some are passive: silent type, and grinner

Approach for handling reactions – Manager tips

Ask yourself: What kind of feedback should I expect? Prepare some approaches to:

- Pre-empt it, for example:
  - Give the silent type an assignment to prepare for your conversation
  - Have the facts ready for the dismisser and arguer
- Handle it in the moment, for example:
  - Tell the emoter (if angry) that you will schedule another meeting when he or she has calmed down
  - Force the grinner to repeat your message back and indicate what action he or she will take

Providing feedback

Feedback is important because it:

- Clarifies links between University and Department/Division goals and individual performance
- Tracks progress against expectations
- Provides opportunities to update or change expectations, if appropriate
- Identifies how results and behaviors can be improved
- Eliminates "surprises" at performance review
- Provides a way to offer input from multiple sources

Guidelines for giving feedback

Opportunity to Observe Performance	Guidelines for Giving Feedback
▪ Direct observation ▪ Written documentation ▪ Third-party feedback, reports or assessments ▪ Individual self-reports/assessments	▪ Effective feedback is: – Specific – Descriptive – Timely – Balanced ▪ "When you…(describe behavior) it…(describe consequences)" ▪ Be sure to acknowledge and appreciate what's worked well

Steps to Giving Good Feedback

Step	Consider…
1. State the specific action/ behavior	Actions or behaviors are things that you "see" people do (or not do) OR things that you hear people "say" or not "say." ▪ In your first sentence, state the specific action/behavior that the feedback is about. ▪ Provide any necessary context (i.e., in the meeting last week, every time you interface with a customer, when you present to top management, when you work with Finance, etc.). ▪ Provide the specifics of what occurred (i.e., I heard you say . . ., I have seen you do . . ., I have noticed . . .). ▪ Always use "I statements" to start the conversation. (i.e., I have seen, I have noticed…). Take ownership for your perception of this person's performance.
2. Describe the result	Describe the results or the impact of the actions/behaviors you observed or have data about. ▪ Be specific about the result. This gives people the rationale for continuing a positive action or correcting an action that is not working. ▪ Consider impacts on business results, the customer, the team, management, the individual, etc. Quantify the impact when possible.
3. Discuss the alternative action (for Corrective Feedback only)	For corrective feedback, be sure that the individual becomes very clear about what to do differently in the future. Remember that you are requesting a change in action or behavior, not "who the person is." ▪ When possible, ask the individual what s/he would do differently next time (i.e., How do you want to try this differently next time? What thoughts do you have on how you might approach this in the future?). This works when there are options and when you don't already have a set answer in your mind. When individuals develop their own solutions, they often demonstrate higher commitment and follow-through on the change. ▪ If you have your mind set on seeing a specific change and/or you have asked the individual before and not seen demonstrated change, specifically describe the alternative action that you need to see. (i.e., Next I need you to do/say . . . next time. Do I have your commitment to do/say . . . in the future).
4. Alternative Results (for Corrective Feedback only)	For corrective feedback, also be clear about the desired result (i.e., By doing it this way, we will see a substantial reduction in man hours. By collaborating with this function, you will have better results and will take less time in the end.).

Delivering feedback

Perhaps even more important than the "content" of your feedback is your ***delivery*** of the message. This will impact to what degree the other person actually "hears you" and chooses to incorporate your perspective on their performance.

Consider these key elements of delivering your feedback:

Element	Consider…
Manner	Manner is **how you say** the feedback. How you say something often carries more weight than what you say. ▪ Be genuine and sincere. ▪ Be clear and concise. ▪ Don't give mixed messages. (i.e., Your presentation was very clear, **but** it did not focus on the needs of this audience. Never use the word "but." It negates anything you say before it.) ▪ In positive feedback situations, express appreciation through your words and non-verbals. ▪ In negative feedback situations, express concern through your words and non-verbals. ▪ When possible, give feedback in person, not via electronic means. Via phone is acceptable when you can't physically be there. This is important since feedback should be a two-way conversation.
Timing	Timing answers this question: **When** do you give an employee feedback for a performance effort worth acknowledging? ▪ **ASAP:** As soon as possible when the feedback is positive. This helps to ensure that the situation is still fresh in your mind and their mind. ▪ **ASAP:** As soon as reasonable/ready when the feedback is corrective. You must be prepared to be specific and respectful. They need be ready to "receive" your message. Do it soon, and if emotions are too high – wait!
Frequency	Frequency answers the question: **How often** do people need feedback? This element is most important because it makes the other elements work. ▪ Use feedback regularly to acknowledge performance. ▪ Try to catch and respond to employees doing the right thing as much as you can AND respond to them doing something not quite right as much as you can. ***Don't acknowledge performance only during the mid-year and year-end discussions!*** ***Make it a part of how your team operates together to achieve results.***

As appropriate, use the Giving Positive Feedback Worksheet and/or the Giving Corrective Feedback Worksheet to prepare for providing feedback to another person.

Giving Positive Feedback Worksheet (for People Managers)

Use this worksheet to plan for how you will deliver **positive** feedback to another individual.

- Remember to be specific about the current action/behavior(s).
- Remember to emphasize the positive impact the action(s) has on achieving goals/objectives, the customer, the team, management and/or the individual.

Positive Feedback Worksheet	
Name of Receiver:	
Deadline to Give Feedback:	
1) What are current actions/behaviors?	
2) What are the current results?	

Giving Corrective Feedback Worksheet (for People Managers)

Use this worksheet to plan for how you will deliver **corrective** feedback to another individual.

- Remember to be specific about the current action/behavior(s) and the negative impact it has on business results, the customer, the team, management and/or the individual.
- Also remember to ask for or give the alternative action and desired result.
- See page 63 for formal Performance Improvement Plan (PIP) process.

Corrective Action Worksheet	
Name of Receiver: ____________________	
Deadline to Give Feedback: ____________________	
1) What are the current actions/behaviors?	
2) What are the current results?	
3) What are the alternative actions/behaviors needed?	
4) What are the alternative results needed?	

15 Tips to Giving Good Performance Feedback

Tip	Suggestions…
1) Get to the point.	▪ The purpose of this meeting is...
2) State why you are having the conversation.	▪ I want to thank you for… ▪ I have a concern about...
3) Describe what you know.	▪ I saw... ▪ I heard you say… ▪ I see that the data shows…
4) Describe the consequences of the continued behavior.	▪ This has helped us achieve… ▪ If this continues, then...
5) Describe how you feel about what you know.	▪ I am glad to see… ▪ I am very concerned about...
6) Encourage the other party to give their side of the story. Listen actively to the employee's perspectives and concerns.	▪ This is what I have noticed, what is your view... ▪ Tell me why you think this happened…
7) Ask as many questions as you need to understand the situation from the other person's perspective.	▪ What makes you think that? ▪ How do you know that… ▪ What other data do you have?
8) Decide what specific actions must be done, when and communicate that to the other party.	▪ I hear you saying that next time you will… ▪ I believe you must...
9) Summarize the conversation.	▪ Let's recap, you will...and I will...
10) Follow up.	▪ I want to see how it's going for you. I will contact you next...
11) Address performance problems as an opportunity for professional development.	▪ Let's look at how we can build this into your Professional Development Plan.
12) Remember and acknowledge that negative feedback is both hard to give and hard to receive.	▪ I feel like this is a hard conversation. ▪ This may be difficult to hear. My intent is to share something that I believe you will want to know.
13) Focus on just one or two performance concerns at a time.	▪ If there are multiple concerns, schedule additional meetings. ▪ Consider seeking assistance from your HR Representative.
14) Don't discount emotional responses that are bound to occur.	▪ Take a break to relieve tensions if emotions become high. ▪ Reschedule the meeting if necessary.

Tip	Suggestions…
15) Always keep notes on the performance feedback that you give.	▪ Use the Ongoing Feedback Summary Form to capture performance conversations. ▪ Set up files in advance (one for each direct report). Slip your notes into their file following every performance conversation (positive and corrective). ▪ When it's time for the mid-year and year-end reviews, most of your work is done for you!

Delivering difficult feedback

Delivering difficult feedback can be very challenging depending on the employee's reaction. The tools and guidelines outlined above should help you more effectively deliver difficult feedback (in particular the Giving Corrective Feedback tool); however, some additional tips for delivering negative performance feedback include:

- Focus on specific behaviors that are helping or taking away from performance
- Describe why the behavior is a problem
- Solicit and provide concrete suggestions for doing things differently in the future
- Check for the individual's understanding of feedback and next steps
- Keep yourself from "over-talking" – encourage dialogue and feedback

Handling negative responses to feedback

While the guidelines on anticipating employee reactions above can help, sometimes an employee's reactions to receiving performance feedback can take you by surprise. Some negative reactions include crying, arguing, or even aggressive behaviors such as hitting or throwing things. While the latter is extremely rare, it is important to keep yourself safe. As needed, discontinue the conversation and suggest that you and the employee meet again later once they have calmed down and have had a chance to reflect on the feedback. Even someone who is crying or upset by the discussion may be able to better engage in the conversation after a break – or even just a few minutes to "collect themselves."

As the employee's manager, consider the feedback and what you anticipate the employee's reaction to be in order to determine if you should continue the conversation or take a break. Keep in mind, when people are upset they are less likely to be able to hear what you have to say or be able to actively engage in thinking about how their performance should look going forward.

Asking for feedback – Manager and employee tips

Improvement is only possible with feedback, so asking others – your manager and colleagues – can be extremely beneficial.

Gather feedback in person rather than by email, so it can be a fluid question and answer session. Once the feedback provider agrees to provide you with feedback, set up a meeting time and reserve a private room. This discussion is not something that you should do at your cubicle or theirs, as you want honest, unedited feedback. Send a meeting invite so that it appears on their calendar.

Focus on asking two key questions:

1. "Tell me one thing I'm doing well and should continue with."

2. "Tell me one thing that I could do that will help me be more effective."

Simplifying your request with these two questions gives the feedback provider your permission to talk about things they might otherwise be uncomfortable discussing. Focusing the discussion on what you can be doing for the future makes it more likely that your manager and other colleagues will be honest and forthcoming about the issues and provide constructive feedback that you can act upon.

For example, suppose you want feedback on facilitating a session or group. Asking "What did you like about the session and what one thing would have made it more effective?" rather than “What didn't go well?” will avoid just pointing out a problem and lead to ideas for improvement. With this approach, it feels like advice as opposed to criticism.

In addition, asking for “one thing” helps the feedback provider focus on the most essential point, and helps you focus, too. As the feedback receiver it can be overwhelming to receive too much information; plus people are busy and although they may want to go into more detail they may not have the time due to other commitments or deadlines. Keeping it to the "one thing" makes the information more focused and impactful.

At the feedback meeting, be sure to write down any improvements they suggest. If you don't agree with something, discuss it then, as there is no better time to do it. Keep the tone of the meeting professional. It is extremely important to remember that this is constructive criticism, not a personal attack on you. Taking this personally will not only stop you from improving in the suggested areas, but probably drop your performance in other areas as well. Also, make sure to ask how you can improve in some of these areas. It does you no good if you know where you need to improve but have no idea how to do it.

Receiving feedback – Employee tips

The best way to receive feedback is to think of it as a gift from your colleagues. In some cases, it may not be exactly what you wanted to hear or what you expected, and in other cases, you may be surprised by what you hear. It is helpful to understand that most people are emotionally affected by feedback. These emotions can run the gamut from feeling relieved, happy, and valued to feeling hurt, betrayed, misunderstood, defensive, angry, and upset. The important thing to remember is that these feelings are normal. Give yourself the time to feel them but once you do, move on to action.

As you receive performance feedback, bear in mind the following principles:

- **Feedback is intended to be helpful.** Feedback should provide detailed information on the results of the assessment that enable the person to understand the data and understand what they are to do as a result.
- **Feedback should be complete and objective.** The feedback should cover all the data. Honesty is the best policy, even when the "news" is difficult.
- **Feedback should be linked to action.** The person receiving the feedback should know where they stand and what the implications of the feedback are.

It is also important to understand that many people are reluctant to give feedback, especially if it is developmental. So if you can get past some of the normal reactions and emotions associated with getting developmental feedback, and demonstrate that you value the information you have received, your colleagues will be more willing to give you constructive, honest feedback in the future.

You may receive feedback formally (e.g., as a part of the mid-year process and the year-end process) or informally. If you receive feedback as a part of the formal process, focus on leveraging your strengths and addressing your developmental areas. You should take the time to review your areas of strength and consider how you can best build on them going forward. You will most likely be pleased by some of the strengths identified by your colleagues. You should also spend time reviewing your areas of development so you can begin to understand and address them going forward.

Handling difficult feedback

No one likes to hear that they are not performing well or need to make improvements in their performance – particularly when you were not anticipating the feedback. Regardless of whether you expected the feedback or it is new feedback that you have not heard before, try to keep an open mind and listen to the feedback being given to you before responding.

The typical emotional cycle we go through is described as **SARAH** – Shock, Anger, Rejection, Acceptance, Help (seeking development).

Shock → **Anger** → **Rejection** → **Acceptance** → **Help**

- There will always be some degree of ***shock*** when you receive feedback that is not consistent with how you see yourself.

- No one is able to move immediately from shock to acceptance without first getting somewhat ***angry and rejecting*** the feedback (perhaps also the feedback provider) in some way. It is often the negative or developmental feedback that is focused on, even when you are performing strong in other areas of your job.

- ***Acceptance*** takes time and represents the rational function restoring its place to regulate your emotional energy – “Now I am not so angry or shocked. I am ready to look at this more rationally and see the validity of what has been said to me.”

- Depending on the situation, a request for **help** may then follow the stage of acceptance, or at least some acknowledgement that you have accepted the feedback and are ready to move on to development. You may wish to discuss the feedback further with the feedback provider, to better understand specific details that can help you in creating a plan to address the development area. Taking action is the last phase of the proactive feedback process and involves coming to conclusions about and taking action on, the information you have received.

Ten Tips for Receiving Developmental Feedback

1) Listen attentively. Keep an open mind. Ask yourself, “How can I get the most out of this feedback?”
2) Don’t discard the feedback. Use the feedback in a way to help correct perceptions, either your own or those of others.
3) Don’t make excuses or try to explain your behavior – it is likely to come across as being defensive. Remember to stay calm and say, “Thank you.”
4) Check your understanding. Ask yourself, “Do I understand what is being said?” Ask questions to clarify the feedback and/or ask for specific examples to help you understand.
5) Allow adequate time to process the feedback before deciding what action you will take.
6) Discuss the feedback with a neutral party (third person) who can help you process and understand the feedback. Having a neutral party can help you take a balanced perspective, including working through any emotions you experience as a result of receiving the feedback.
7) Balance the positive feedback with the development feedback. Everyone has areas we can improve on as well as things we do well. Try not to only focus on your development areas. Celebrate and leverage your strengths as well.
8) Think about useful ways to view the feedback. For example, rather than feeling that it is a personal attack on you, some useful thoughts might be:
   - “I really need to know honestly how I’m doing.”
   - “Finding out about this can help me find new opportunities to develop.”
   - “Being defensive keeps me from hearing what others have to say.”
   - “Taking the initiative to make changes based on the feedback puts me in charge and gives me some power.”
   - “What really serves my interests best? To accept the feedback and choose to act on it, or to ignore it?”
9) Decide when to respond. Take time out or respond immediately? To take time out, respond by saying, “Thank you very much for your input. I need some time to think about this.”
10) Consider the feedback and then act. Ask yourself these questions:
   - Is the feedback about a behavior I can do something about?
   - What will happen if I act on the feedback?
   - What will happen if I do not act on the feedback?
   - Do I accept the feedback? (You choose to accept all, some, or none.)
   - What actions will I take? (Decide what actions you will take and begin working on Individual Development plans.)

Handling vague feedback

Asking for personal performance feedback does not guarantee you will receive feedback that is specific and helpful enough to improve future performance.

Here are three common patterns of vague feedback – labels, comparisons and hints – and questions that can help you extract useful information.

Labels

Many ineffective feedback providers label people rather than describe specific behaviors or results. This usually backfires, because when people hear a label (e.g., you are lazy!), the first impulse is to reject the label.

Even though it's natural to become defensive, use the opportunity to understand where your manager's (or colleague's) dissatisfaction lies. The questions below will help you better understand their feedback:

- What have you seen and heard that will help me understand your feedback?
- Would you give me some specific examples to help me understand the issues you see?
- What have you seen about how ____________ is affecting my results?
- Can you share your thoughts about how ___________ impacts my effectiveness?

Comparatives with nothing to compare against

Some feedback providers think that simply telling a person he/she must "do better" is helpful; however, it leaves the feedback receiver wondering "At what?" and "How much better would satisfy you?"

Probe for specific information about what needs improvement and what standard of performance your manager or colleague is looking for. Ask:

- What aspects of my performance aren't meeting your expectations?
- Would you give me examples of when my performance didn't meet your expectations?
- What areas of my performance do meet your expectations?
- Can we discuss what I need to do to meet your expectations?

Hints

Some managers and colleagues can't bring themselves to say things directly. They make vague references and broad statements, hoping you will take the hint.

For example: Julie reported that her manager said, "We should all make good use of our time" during her performance review. While Julie agreed with the sentiment, she didn't realize until later that her manager took issue with how she was using her time at the office.

A vague statement may be masking dissatisfaction. If you receive vague or general statements, ask questions to draw the real issue to the forefront. In the example about Julie, she probed deeper by asking:

- “What do you see that tells you people aren't making good use of their time?”
- “Is there a specific observation about the way I use my time I should know about?”

When Julie’s manager continued answering with a vague response, Julie followed up by asking, "Are you concerned with the results I'm achieving?"

With that prompting, Julie’s manager stated his real concern: She was spending time talking to the developers and her manager felt her time would be better used conducting more tests.

When Julie explained that she was talking to the developers about adding program checks to help with early testing, her manager agreed that maybe talking to the developers was a good use of time after all.

Document your mid-year progress on the Form

In advance of your mid-year one-on-one discussion with your manager, you should document your mid-year performance results on your Performance and Development Form. This information should be entered in the space provided under the “Progress/Results” section. Your manager will also document their assessment of your performance for the first half of the year in this section.

Both employee and manager should record their assessments of:

- Employee’s accomplishments to date
- Any performance improvement or development need
- Any necessary changes to goals or expectations

Mid-year meeting agenda and tips, including meeting preparation and follow-up actions

The mid-year review is part of monitoring performance. It is a formal discussion that happens approximately six months into the year (January) so that the manager and employee:

- Discuss and agree on performance results to date
- Discuss any changes to overall University objectives and any impact to the individual’s goals
- Identify any barriers or issues that need to be resolved for the individual to receive a Successful Contribution level of performance at year-end

Use the following checklist to guide your preparation and the actual discussion itself.

Mid-Year Review Checklist – Employee and Manager	Employee	Manager
1) Prepare for the discussion by assessing year-to-date performance against goals documented on the Form	✓	✓
2) Conduct the mid-year review by collaboratively discussing the following questions: ▪ What are the year-to-date results for each of your goals? What can you do to improve your results? ▪ Which goals still need to be achieved? What are the priorities? What are you committing to do to achieve these goals by year-end? ▪ What skills would you like to develop that would enable you to increase your performance in your current role? ▪ What barriers have you encountered to achieving your goals? How can you work minimize or eliminate those barriers? ▪ How would you rate your performance against your goals at this time?	✓	

Manager Tips for an Effective Mid-Year Discussion

Tip	Suggestions…
1) Avoid surprises!	▪ Provide ongoing feedback to the employee, both positive and corrective
2) Adequately prepare. This makes the review go more smoothly and demonstrates that you value the individual and their work.	▪ Consider the following questions as you prepare… – What is the current state for each goal? What mitigating factors should be considered? What risks are there for completing the target by year-end or on time? What do customers (internal and external) have to say? What perspectives do team members and cross-functional partners have? (the mid-year process) – How would you rate your performance against your goals at this time?
3) Set the stage for the conversation.	▪ The purpose of this discussion is to reach consensus on where you are with your performance year-to-date. ▪ I want to understand where you believe you are and any potential roadblocks you perceive. ▪ I also want to share my view of where you are and then have us reach consensus on what needs to happen between now and the end of the year.

Tip	Suggestions…
4) Actively engage the employee in the discussion.	▪ Do you think that the business goals and priorities are the same today as when you initially set the goals? What, if anything, has changed? How do you see these changes impacting your goals? ▪ What do you think is causing that problem? Tell me more about it.
5) Have data to support your conclusions.	▪ If you believe the employee is a strong performer in particular areas, be specific. For example, excellent use of technology that resulted in… ▪ If you believe the employee needs to improve in particular areas, provide the data. What have you discussed before? What examples do you have? What metrics are you looking at? What result has occurred due to specific actions/behaviors?
6) Use the mid-year performance discussion as a time to share University objectives and goals.	▪ Share any changes since the beginning of the year to University objectives and goals. ▪ Share information about key initiatives/projects that are or will occur. Discuss the impacts these may have on the individual's work. ▪ Clarify or set any new expectations based on external and internal changes impacting the individual's work.
7) Offer additional resources.	▪ What do you need that you don't have today?
8) Gain commitment.	▪ Ask the employee to summarize your agreement on any changes in direction or expectation (i.e., What have you heard as our agreements?). ▪ Make sure any changes to the goals are in writing on the employee's form. ▪ Express confidence in the employee's ability to achieve the goal and confirm your willingness to support. ▪ Set a date to review progress.
9) Thank the employee for their contributions to the mid-year performance discussion.	▪ Acknowledge the employee's input and perspectives. ▪ Ask what additional thoughts or feedback the person has for you.

Specific questions you should answer include:

- What were my top 3 key accomplishments?
- Compared to my goals and performance expectations for the year, what are some examples of my key contributions for the first half of the year?
- What were my top 1 – 2 development areas? Are there areas where I did not accomplish expected results or progress for the first half of the year?
- Have any of my goals from the beginning of the year changed? Do I have any new goals?

Meeting Follow-up Actions

During the mid-year process, you will need to complete the “Progress/Results” section of your Performance and Development Form. In this section you should provide a self-assessment of how you think you have performed against your goals for the first half of the year.

Change in employee status or manager

- **If the employee is planning to leave the University** before the annual performance rating, the manager and employee should conduct a final discussion, if appropriate. If a conversation is not appropriate, then on the Form the manager should not select any ratings in the “Summary of Performance Ratings” section.

Note that there is only one form per employee per year. The employee’s annual performance is always evaluated by the current manager.

- **If the employee has left the University** without having the annual performance review discussion, in the Form the manager should not select any ratings in the “Summary of Performance Ratings” section.
- **If the employee has changed jobs** they should discuss his/her performance to date with the current manager. Then the employee and the new manager should agree on goals for the remainder of the year and add these to the Form.

Development planning

We encourage managers and employees to discuss professional development planning. The purpose of these discussions is to identify opportunities for developing capabilities for the employee’s current or future role.

Often managers tend to assign formal “training” as the primary means of developing employees. While training on technical or job specific knowledge can be effective, it’s often difficult to transfer behavioral learning to the workplace. Instead, managers should encourage employees to identify developmental opportunities that are “On the Job.” An example of on the job training for a Maintenance Engineer may include leading a major equipment upgrade – the research, actions required, project planning/communication/ implementation and related stakeholder coordination/communication. Or for a functional role in OHR or Finance, it may include leading a team or a project.

Some "development and career self-assessment questions" you should consider as a part of your planning for a discussion with your manager may include:

Development and Career Self-Assessment Questions
1) What are my key strengths at this point in my career?
2) What are my key development needs?
3) What are my short and long-term career goals?
4) What is it about my career goals that interest/appeal to me most?
5) What will it require for me to achieve my career goals?
6) What are the different paths I might take to reach my career destination/goals? Which path do I prefer and why?
7) What challenges or obstacles exist (if any) to attaining your career goals? Be specific.
8) In what ways could my manager support me in reaching my goals?
9) If a career opportunity was presented to me, but required me to relocate, would I consider it?

Development Discussion Overview and Manager Guidelines

Overview

The career development discussion is one component of our career planning process – a way in which managers support employee ownership of and engagement in career planning. It is an opportunity for managers and employees to partner in identifying short and long term activities that both further employee career goals and align with the University's objectives and goals. Capture career development activities within the Professional Development and Career Interest sections of the Performance and Development Form and use them as a reference for gauging progress throughout the year.

As a manager, your role is to:

- Prepare for and conduct a career development discussion with each of your employees
- Explain career opportunities and defined career paths within the University
- Connect the skills/experience gained through proficiency and mastery in the current role with the desired career direction
- Align University needs with activities/assignments that relate to the employee's career goals
- Recommend opportunities for development through on-the-job experiences, training and resources (such as books, articles, mentoring, etc.)

Manager Career Development Discussion Guide

Step	Action
1	Ask your employee to complete a self-assessment by completing the Form prior to your scheduled career discussion, which may be part of the Performance Discussion, Mid-year Discussion, or a separate discussion. This self-assessment allows both employee and manager time to prepare in advance, enhancing the quality and focus of the dialogue. It also reinforces employee ownership of career planning and direction.
2	Review the employee's self-assessment responses and compare them with your knowledge of the employee's capabilities and potential. Determine which path is the most appropriate for framing the discussion. ▪ *Preparing for Career Advancement*. The employee has mastered the experiences and competencies for his or her current role and should now focus on broadening activities that prepare him/her for capitalizing on career opportunities that align with the employee's desired direction/goals. ▪ *Establishing Mastery.* The employee has acquired key competencies for the role and demonstrated proficiency across the critical competencies. He/she is ready to assume more complex assignments/projects that deliver measurable outputs and show mastery of his/her career stage. ▪ *Gaining Proficiency.* The employee is still building a successful track record in completing the core work associated with the role. Additional time is required to gain the breadth of key experiences. *See below for specific suggestions by path.*
3	Schedule and conduct the career development discussion. Follow the recommendations specific to each path on preparing, initiating dialogue and asking questions. During the conversation, identify activities that further the employee's growth given his/her career path and direction.

<u>Preparing for Career Advancement</u>
Employees preparing for career advancement have mastered the experiences and competencies for the current role and should now focus on broadening activities that prepare them for capitalizing on career opportunities that align with desired direction/goals.

Preparing for the conversation:
- Review the employee's self-assessment
- Based on the employee's desired career direction, identify additional paths or positions he/she may not have considered
- Determine key experiences and critical competencies that stretch the employee's capabilities related to his/her career goals

Initiating the dialogue:

- "At NSU, each employee is encouraged to take ownership in managing his or her career. As a manager, I can help support your decisions and efforts in this area. As you've documented in your self-assessment, you have demonstrated exceptional contributions in all facets of your role – key experiences, above target delivery on defined goals and demonstrated behaviors at or above the appropriate role level for each of the Core Values. You have distinguished yourself as an Exceptional Contributor in your current job, which is a significant accomplishment. We now need to focus on the broadening activities that relate to future career opportunities available within NSU. By doing so, we can anticipate and position you to capitalize on career opportunities as they arise."

Asking questions:

- When you think of colleagues at NSU that have followed your desired career direction, who comes to mind? Is there someone that might serve as a helpful mentor or advisor as you're working towards your goals?
- Given your career direction, have you thought about other paths that might lead to a similar destination – for example, [suggest alternatives].

Exceptional Contribution

Employees providing Exceptional Contribution to NSU have acquired the key experiences for the role and demonstrated proficiency across the Core Values. They are ready to assume more complex assignments/projects that deliver measurable outputs and show progression in their career at NSU.

Asking questions

- What types of projects would you most like to be assigned?
- What concerns do you have about taking on more complex projects?
- What could make you even more effective in your role today?

Gaining Proficiency

Employees gaining proficiency are still building a successful track record in completing the core work associated with the role. Additional time is required to gain the breadth of key experiences.

Preparing for the conversation

- Review the employee's self-assessment and highlight those areas in which you share agreement
- Identify areas in which your perspectives differ; prepare examples of when and how the employee could have delivered a different or better outcome
- Determine which experiences the employee needs to acquire and/or which Core Value behaviors require further development

Initiating the dialogue

- At NSU, each employee is encouraged to take ownership in managing his or her career. As a manager, I can help support your decisions and efforts in this area. I'd like to spend our time today discussing how strengthening proficiency in your current role can help you progress towards the career goals you shared in the self assessment. When I read through your responses, I agreed with a number of the strengths you highlighted such as X, Y, and Z. You've done well in these areas through <insert examples>.

- As I think about your career direction, there are some fundamentals in your core work and competencies today that will be essential for success in future opportunities such as <insert examples>. These are the areas that you'll need to develop in your current role to support your desired career direction. How might you accomplish this?

Asking questions

- When you think of people at NSU that are successful in their role, who comes to mind? Is there someone that might serve as a helpful learning partner as you are navigating the challenges of your current role?
- Who are your role models here at NSU – leaders who are successful and deliver significant results? What do they do that makes them successful? In what ways can you incorporate these techniques in your role?

Additional questions

Managers should ask employees for additional context regarding their self-evaluation and career goals/objectives, such as:

- What do you feel have been your biggest career achievements and why?
- What kinds of barriers or constraints might get in the way of your career goals/objectives? How might these be overcome or addressed?
- In what new and different ways would you like to contribute to the team in the future?
- What other resources could help you achieve your goals?
- What other talents/skills do you have that are not applied in your job today? How might you use these skills?
- What is it about your work that makes it important to you?

Career Development Activities

Partner with the employee to brainstorm potential activities that support his/her career goals based on the path. Examples include:

Broadening Experiences to Prepare for Career Advancement	Mastery Activities	Developmental Activities to Further Proficiency in the Role
▪ Interview or shadow an individual in the desired role or career direction ▪ Gain experience coaching others by serving as a mentor to more junior team members ▪ Build leadership experience through cross-functional task forces or committees	▪ Establish and document key processes for team/department ▪ Create materials for training new team members ▪ Lead a project team in driving measurable results for the organization	▪ Attend classroom training to build skills and competencies ▪ Engage a learning partner to provide coaching in completing daily tasks/responsibilities ▪ Leverage online training to develop technical knowledge/expertise

Coaching for success

Collaborative Coaching Model

Providing feedback and coaching are two of the most critical roles of a manager; however, are often the most challenging. Even if a manager has effectively put the feedback tips in this Guidebook into play, providing *effective* coaching is another skill that should be mastered to get the most out of your employees' and team's performance. Using the collaborative coaching model enables you to further partner with your employees to get the most out of their performance. By involving the employee in the process they are more likely going to get involved and own their own performance.

1) **Open/define the topic and need.** Set the stage for the discussion's purpose by being specific, descriptive and non-hostile. The intent is to describe why coaching is important and view it as a joint effort. Create a mutually understood picture of what's happening. Focus on relevant and immediate issues and clarify expectations. Gather employee input and focus on one issue.
2) **Establish impact.** This is a vital transition step in moving from the issue or concern to the forward-looking action and commitment steps. Request the employee to step back and fully assess the impact of his/her actions on goals, customers, operations, colleagues, and/or the University as a whole.
3) **Jointly explore alternatives.** Next, brainstorm to develop and explore alternative solutions to resolve or improve the outcome. By asking questions without directing, we help the other person determine the best way to achieve a goal or complete a task. As we participate and offer suggestions, we generate new ideas.
4) **Select a specific course of action.** Participants must also realize that when seeking agreement, they may have to "agree to disagree." We are searching for a solution that best meets the needs of an internal or external customer.
5) **Generate a plan.** Once a course of action is selected, jointly develop a plan; the leader is a facilitator and catalyst; and offers encouragement and support. The plan should be specific, simple, clear, feasible and with timetables.
6) **Get a commitment.** By using clear and pointed words and questions the manager is requesting the employee to state ownership and responsibility for accomplishing the plan. The key is to get a commitment, focus on what can be done, look forward and initiate the first steps immediately.
7) **Summarize.** End the discussion with a review of who will do what by when to ensure that action is taken. Focus on the positive consequences and genuinely offer your support. Ensure that follow-up dates are set to review progress.
8) **Follow-up.** Keep your commitments and initiate conversations with the employee and encourage them to do the same. These conversations are brief review meetings to evaluate progress and make any needed adjustments.

Phase 3: Year-end Assessment, Feedback and Rewards

Overview

The year-end process is the culmination of employee performance results for the year. It is the time to “look back” at how effectively the employee performed against his/her goals. The year-end process includes the following steps:

STEPS

1) Employee self-assessment (by May 31)
2) Center Head sets and leads year-end activities (all to occur in July – August)
   – Manager initial evaluation
   – Next-level manager review
   – Alignment meetings (manager and next-level manager)
   – Center Head review of aggregate reviews
3) All *Performance and Development Forms* due to OHR (by September 15)
4) Manager shares compensation outcomes with employee if relevant (December)

Foundation Requirements for This Phase	▪ Employee has up-to-date form which reflects results through mid-year ▪ Employee has a clear understanding of his/her performance, including strengths and development areas due to ongoing feedback provided by his/her manager
Key Outcomes Expected	▪ Employee has updated his/her form with performance results through year-end ▪ Employee has completed self-assessment ▪ Manager has completed Performance Management Forms for each of his/her employees ▪ Manager's manager has completed the next-level manager review and alignment meetings have occurred ▪ Manager has held a formal year-end discussion with each of his/her employees. Year-end discussion provided a summary of the employee's strengths and development areas based on the employee's performance during the full performance year

NOTE: Compensation decisions are **not** shared with employees during year-end performance discussions. This information is shared with the employee only after leadership has approved compensation decisions University-wide. Performance Discussions where performance feedback is provided occurs in July/August while any compensation decisions and employee discussions will be shared in the November following the performance year.

Roles and responsibilities (employee, manager, and manager's manager)

Employee	Manager	Manager's Manager
1) Document year-end results for each goal in the form and complete self-assessment 2) Send notification to manager that year-end results are ready for review 3) Schedule year-end discussion (if your manager has not already done so) 4) Prepare for the year-end performance discussion 5) Revise/update Form	1) Review employee goals 2) Gather feedback from customers and co-workers 3) Initially assign a performance rating based on the employee performance 4) Prepare for and conduct year-end performance discussion 5) Approve and submit employee's form 6) Enter initial performance rating	1) Complete next-level manager reviews 2) Hold alignment discussions with each of your direct reports about the performance of his/her direct reports

Leadership	Manager	Employees	Human Resources
▪ Set University-wide goals and facilitate cascade process ▪ Sponsor the overall program ▪ Hold leaders accountable ▪ Lead by example ▪ Coach and mentor	▪ Set goals with employee based on cascade process ▪ Review and finalize goals drafted by employee (or review task goals) ▪ Monitor progress ▪ Coach and develop ▪ Assess and differentiate ▪ Communicate final rating and provide final feedback ▪ Reward and recognize	▪ Draft goals (under manager guidance) based on cascade process OR review task goals ▪ Document progress against goals and Core Values ▪ Strive for achievement and development ▪ Self-assessment	▪ Deliver training to employees and managers, as well as ongoing "refresher" training/ reminders ▪ Provide performance management form(s) and job-specific task goals ▪ Drive deadlines ▪ Measure success

Guidelines, tools and templates for success

Employee self-assessment

A self-assessment is required for each NSU employee. The self-assessment is your personal reflection on what you perceive to be your strengths and development areas when examining your performance over the past year against the performance expectations documented on your Performance and Development Form. Your self-assessment should be done by completing a blank copy of your Performance and Development Form. This will give you an opportunity to highlight strengths and development areas. Specific questions that you should answer in your self-assessment include:

Based on my performance:

- What were my top 3 key accomplishments?
- Compared to my performance expectations (i.e., goals, core values, etc.), what are some examples of my key contributions?
- What were my top 1 – 2 development areas? Are there areas where I did not accomplish expected results?

Manager Evaluation of Employee Performance

There are four steps to evaluate employee performance:

1. Ensure employee has completed their self-assessment (copy of the Performance and Development Form)

2. Review the role accountabilities; revisit individual goals (as documented on the employee's Form)
3. Gather data and review your recollections and notes for the year
4. Collect and summarize co-worker/"customer" feedback (multi-source feedback)

As you go through the evaluation process, be sure to avoid common evaluation errors to ensure you provide an accurate and fair assessment of the employee's performance.

Common evaluation errors

Errors/Tendencies	Solution
Base your evaluation on similarities to your own performance	Stay focused on the individual and concentrate on what is unique about his/her skills
Base your evaluation on one aspect of an individual's performance	Measure performance against standards that encompass all of the individual's responsibilities
Focus too much attention on most recent performance	Keep notes about performance throughout the review period
Base your evaluation on first impression of individuals	Break the review period into smaller periods and review all data
Give excessive positive feedback for simply getting the job done	Concentrate on how individuals can grow or develop further
Give too much weight to a single event because of large negative impact	Keep notes about performance throughout the review period
Be overly tough in terms of performance standards	Measure against established measures and recognize even minor accomplishments
Focus more on potential than on performance	Look only at current year's performance

Gathering data and information

Your manager will use all information and data that is relevant to the performance goals outlined on your form. Depending on your job, this may include: Business results, manager's direct observation, quality and timeliness of reports/documents created, and/or feedback from colleagues. If you are unsure of the "inputs" that your manager will be using to evaluate your performance please ask him/her.

"Good data" is essential to the evaluation process. Managers must consider a variety of inputs to reach a sound conclusion about an employee's performance. Managers, throughout the year, will gather data from the following sources in order to accurately assess your performance:

- Coaching/feedback tools and other communication resources – in this Guidebook
- Agreements reached from prior performance conversations

- Direct observation (performing task, working with customer)
- Written documentation (productivity or quality reports, your notes)
- Discuss performance with other managers
- Third-party reports or assessments

Managers will need to be careful not to rely too heavily on one source of data. Often one source will not tell the entire story.

For example, a third-party may tell the manager that the employee did not perform well on a particular project. The third-party may have no malicious intent, but regardless of intent, his/her line of sight is limited to the experiences he/she had with the employee. Overall, the employee's performance on the project may have met or exceeded the manager's expectations. Such a finding may be supported by other sources of data, such as financial results or the quality of a work product. Measuring performance requires a fair and balanced approach where all sources of data are weighted appropriately, and the use of reliable, varied and unbiased data will facilitate the assignment of fair ratings across the organization.

Gathering multi-source feedback

Multi-source feedback is strongly recommended because it can be extremely useful in getting a "whole" picture of performance – since employees sometimes work with a number of different individuals, sometimes in different departments. Multi-source feedback is a means of gathering additional perspectives on your performance. This could involve your peers, internal customers, or other NSU team members with insight into your performance. Using multi-source feedback in the performance evaluation process can provide managers with a more accurate and holistic view on employee performance. <u>This is not a formal process at NSU</u> (i.e., a 360-feedback form) and should be done based on the individual job and valuable sources of information that the manager can access.

Typically, managers will solicit input from approximately four to six individuals for each employee, recognizing that it is unlikely that all six individuals will provide feedback. Managers will coordinate the request, receipt and summary of the feedback. This feedback may be gathered formally or informally (i.e., one-on-one meetings, email, etc.). When gathering feedback, managers should only ask colleagues that have a good understanding of the employee's performance against one or more of his/her goals. Employees should be prepared to offer some suggestions of colleagues who could provide frank and balanced multi-source feedback on their performance.

Regardless of the process for gathering feedback (one-on-one meetings, e-mail, informal conversation, etc.), managers may find the tool on the following page helpful for asking for feedback.

Customer/Colleague Feedback Form

Customer/Colleague Feedback Form
Feedback Requested for: ____ **Date Feedback Is Due:**____ **Requestor:** ____
Instructions: You are being contacted because you interact with the employee noted above in the course of your work. Gathering your insights about the employee's performance is a valuable contribution to the year-end process. Please provide feedback by the date indicated and return to me. Note that your identity will be known to me, the employee's manager, but not the employee. I will summarize all information received and will only provide the employee with key themes.
▪ **Overall for the past year, how would you evaluate _________'s performance based on your expectations as an internal customer/peer?**
▪ **What are _________'s greatest strengths? Please provide examples of how he/she has demonstrated these results/behaviors effectively.**
▪ **What are _________'s primary area(s) for development? Please provide examples of how he/she has not effectively demonstrated the result(s)/behavior(s) as well as your development suggestions for improving the result/behavior?**
▪ **Do you have any other performance feedback you would like to share on ________?**

When a manager gathers multi-source feedback on an employee, he or she should ensure that when the feedback provider's feedback is incorporated and shared with the employee that it maintains the confidentiality of the feedback provider.

If you would like your manager to gather multi-source feedback on you, contact him or her immediately to allow enough time for your manager to ask for and gather feedback. You can also compile a list of colleagues that you perceive can provide valuable insights about your performance – both strengths and areas for development. You and your manager should be careful to select a group of feedback providers that can provide meaningful and balanced feedback in order to recognize the most value from this process.

Document your year-end progress on your form

In advance of your year-end one-on-one discussion with your manager, you should document your year-end performance results on your form. Your manager will also document his/her assessment of your performance for the second half of the year.

Both the employee and manager should record their assessment of:

- Employee's accomplishments to date
- Any performance improvement or development need
- Any necessary changes to goals or expectations

Lack of compliance

If an employee elects not to sign their form, the manager should enter that the employee did not sign their form into the Manager's comment section(s) of the employee's form.

Manager and employee one-on-one meeting: year-end results – Meeting agenda and tips, including meeting preparation and follow-up actions

The year-end review summarizes performance for the entire year. All manager and employee one-on-one meetings are required to be completed by August 31. Note that the Performance Discussion includes two components – performance evaluation (a look back) and performance planning (a look ahead at the next performance year).

You can expect to discuss your year-end performance results, based on what you have accomplished during the year against the goals outlined in your form. It will be important for you to share how you think you did against your goals, even if you already completed your self-assessment. Be sure to include your perceived strengths and development areas.

Your manager will review each of your goals and provide supporting information on how you performed against the goal. In addition to the "look back" over the past performance year, you can expect to start discussing a "look forward" to next year – and potential areas and goals you may focus on.

Your manager will **not** share any compensation information with you during the year-end performance discussion in July/August. You can expect to have a separate discussion with your manager later in the year (November), in which you will find out any related compensation decisions.

Preparing for and Conducting the Year-end Review

Use the following checklist to guide your preparation and the actual year-end discussion itself. Note that at NSU, this discussion is combined with the performance planning discussion.

Year-End Review Preparation Checklist	Employee	Manager
1) Schedule a year-end review with each employee. ▪ Communicate when you need the employee to complete their year-end results on the Form so that you can complete your review. ▪ Reserve a private room for each discussion.		✓
2) Draft the “Progress/Results” and the “Manager Comments” sections of the Form. Update the Professional Development section as appropriate. ▪ Be straightforward and honest. Provide concrete examples and data to support your perspectives. ▪ Notify your manager that your Form is ready for review.	✓	
3) Review the employee’s performance over the course of the year and complete the “Manager Comments” section of the employee’s Form. ▪ Review the employee’s input on their actual results. ▪ Review your records of employee feedback and documented results. ▪ Collect additional data as necessary.		✓
4) Notify your manager that all of your employees’ Forms are ready for review.		✓
5) Actively participate in an Alignment Meeting with your manager. In the Alignment Meeting you will discuss: ▪ Initial performance rating ▪ Data to support the recommended performance rating		✓
6) Sign-off on each employee’s Form after year-end performance meeting is completed.	✓	✓

Year-End Review Preparation Checklist	Employee	Manager
7) Conduct the year-end review with each of your direct reports and submit to OHR (by September 15): ▪ Ask for the employee's view on his/her progress on their goals. Share your view. Reach consensus on development objectives that have been met and those that need to carry over to next year. ▪ Share specific feedback on each goal. ▪ Answer any clarifying questions that the employee has about your perspective of his/her performance ▪ Share overall performance rating	✓	✓
8) Share year-end compensation decisions with each of your direct reports (November/December)		✓

Manager Tips for an Effective Year-End Discussion

Tip	Suggestions…
1) Avoid surprises!	▪ Provide ongoing feedback to the employee, both positive and corrective.
2) Adequately prepare. This makes the review go more smoothly and demonstrates that you value the individual and their work.	▪ Consider the following questions as you prepare… – To what degree does each goal achieve the metric that we agreed upon? What is my evidence? – To what degree did this individual achieve what he/she set out to achieve in the Professional Development Plan? – Where are you unsure? What additional data do you need? Do you have questions for the employee, or others that the employee has worked with/interfaced with? – How would you evaluate the individual's performance against given the definitions defined by NSU?
3) Set the stage for the conversation.	▪ The purpose of this discussion is to share my year-end review of your performance. ▪ I want to understand where you have different perspectives and why so that we can come to consensus on how to better share our views next year.
4) Actively engage the employee in the discussion.	▪ To what degree do you agree with my comments? ▪ I sense you feel differently about this. Tell me what you are thinking. ▪ How can we be more on the same page next year?
5) Have data to support your conclusions.	▪ Share specific examples. ▪ Share actual data for established metrics. ▪ Share documented feedback.
6) Utilize the year-end performance discussion as a time to set the stage for next year.	▪ If this review is positive, it is natural to begin discussing targets and plans for the coming year. ▪ If this review is not positive, schedule a different time to begin planning for the coming year.
7) Thank the employee for their contributions to the year-end performance discussion.	▪ Acknowledge the employee's work over the past year. ▪ Inform them that you will hold a separate discussion to share any compensation changes. ▪ Thank the employee for his/her input and perspectives during the review discussion.

Alignment meeting with manager manager's review and sign-off on forms

In June, each manager will need to hold an "Alignment Meeting" with his/her manager. During this meeting the manager and the manager's manager will discuss two things for each employee:

- Performance category
- Data to support the manager's recommendations

The manager's manager will do a quality check of each of the manager's employee's forms. They will review the employee's self-assessment role accountabilities and goal accomplishments. The manager's manager will also have the option to include their own personal feedback in the form if they wish to supplement the manager's year-end feedback comments. Manager's manager review needs to be completed by date.

Communication of compensation decisions to managers

Performance is tied to the compensation that an employee receives. NSU is committed to rewarding strong performance through our compensation programs. It is NSU desire that when there are available funds, that we will provide performance-based merit increase to employees. Availability of funds is driven by business conditions and financial results, including things like enrollment numbers and research endowments.

NSU is committed to rewarding strong performance, which includes those employees that demonstrate on-target performance and those that exceed on-target performance. It also includes rewarding employees demonstrating an Exceptional Contribution more than employees receiving the Successful Contribution rating because of their relative contribution.

You can expect to have a discussion with your manager in November/December in which you will find out any compensation decisions.

Performance Improvement Plans (PIPs)

When a PIP is required

Any employee assigned an overall "Unsatisfactory Contribution" rating will receive a Performance Improvement Plan (PIP). His/her manager and an OHR Representative will work together to develop a PIP. The intent of the PIP is to help employees bring performance up to a "Successful Contribution" level. Generally, the PIP should be shared with the employee no more than 30 days post-evaluation. Managers should contact OHR for assistance in preparing and facilitating PIP process. OHR can be contacted via email (HR4U@nova.edu) or phone (262-HR4U).

The PIP is no different than those being used today, but we do require an employee to be on a PIP if they are assigned an overall rating of "Unsatisfactory Contribution."

Guidelines for using a PIP

The Performance Improvement Plan process consists of the following:

- Identification of one or more areas of an employee's performance that requires improvement
- Creation of a written PIP to address specific areas of improvement
- Preparing for and conducting performance discussion to address the specific performance issue(s) and to introduce the PIP
- Establishing periodic follow-up discussions to provide coaching and feedback throughout the performance improvement process

When should a PIP be created for an employee?

- When an employee is placed in the "Unsatisfactory Contribution" rating on his or her performance review, the focus is on development so that the employee can get up to a "Successful Contribution" level of performance.
- At any point in time an employee is not meeting performance standards. Examples may include: requirement of constant supervision, missed deadlines, lower quality or quantity of work when given a task, constant production of work with errors or work that has to be redone, etc.
- Only when there is commitment from the manager and employee to work through the performance improvement process to address the areas of poor performance.

Always check with your HR Business Partner before initiating a PIP to ensure it is the most appropriate path forward.

Having a preliminary performance discussion with the employee

- Notify and include OHR in your plans to conduct a performance improvement discussion with an employee.
- Schedule your discussion with the employee in a private place and eliminate all possible distractions and disruptions.
- Outline a specific, objective description of the performance issue(s) that is going to be discussed. Gather and provide supporting documentation or evidence to present to the employee (if applicable) during the meeting.
- Describe specific examples of the poor performance.
- Be clear that the employee's performance is **not** satisfactory. Performance must improve. In some cases, if performance does not improve, further corrective action up to termination of employment may follow.
- Try to get **agreement** that a performance problem exists.
- Explain that another meeting (PIP Development Meeting) will be conducted shortly, so that a PIP can be created.

Counsel the employee to consider possible resolutions to improve performance and to be prepared to discuss the action steps required in order to reach those resolutions at the PIP Development meeting.

- Set a date, time and location for the PIP meeting.

Creating the PIP

- Work with OHR to outline the objectives of the PIP.
- Identify specific performance improvement objectives that the employee will be required to meet to accomplish the "Successful Contribution" category.
- Identify success criteria. For each performance improvement objective, identify specific measures or actions that the employee will need to show in order to demonstrate improvement in his/her performance.
- Establish time frames by which the success criteria are to be met.
- Outline next steps and consequences for failure to improve performance with the assistance of your HR Representative.

Conducting the PIP development meeting

- Schedule your meeting with the employee in a **private** place and eliminate all possible distractions and disruptions.
- Reiterate the specific performance issues that were identified in previous discussions.
- Discuss the specific objectives or goals that the employee must achieve, but also encourage and listen to the employee's input that is relevant to the development of the plan.
- **Mutually** agree on the actions to be taken to improve performance. Ensure that the performance improvement objectives are **SMART** (specific, measurable, achievable, results-oriented, and time-bound).
- Clearly state the consequences of not achieving the PIP objectives.
- Explain that follow-up meetings will take place to discuss the employee's performance.
- Establish a date, time and location for the next follow-up meeting, which could occur as early as within **one week**, but should occur no later than **30 days** from the initial meeting.
- Keep a copy of the agreed upon and signed PIP. Send the original to your HR Representative to be reviewed and signed. Record periodic performance results along with follow-up discussions.
- Secure the employee's commitment to the plan by obtaining the employee's signature on the PIP. If the employee initially resists, re-establish mutual agreement of the required action steps. Counsel the employee that the plan's success is dependent upon his/her commitment. If the employee still will not sign the document, write 'employee refused to sign in the signature line' and then initial and date.

Conducting follow-up meetings

- Meet with the employee **at least** every 30 days after the initial meeting, possibly earlier in the beginning. Ideally, you should meet with the employee a minimum of three times during the active period of the plan. In some cases, if improvement is not shown, further corrective action, up to and including termination of employment is considered in place of continuing the PIP. A PIP is also discontinued once performance has improved and sustained at a Successful Contribution performance level. All PIPs become a part of permanent record with the University.
- Discuss the employee's progress toward accomplishing the improvement objectives.
- Recognize any achievement and areas of development.
- Document the employee's progress on the PIP.
- Modify the PIP if needed, but only after involving your HR Representative.
- Work with your OHR Consultant to follow through on previously established consequences if performance does not improve to satisfactory levels within the agreed upon time frame. **Notify your HR Representative.**
- Document the employee's progress, subsequent actions, and/or successful completion of the PIP and place it in the employee's personnel file.

Manager and employee one-on-one meeting: Rewards – Meeting agenda and tips, including meeting preparation and follow-up actions

This one-on-one meeting is a formal discussion that happens in November or December.

This conversation does not have to be long; however, it is an opportunity to reinforce performance messages you shared during your year-end discussion in date. Close by expressing confidence in the employee's performance for the current year.

Foundation Requirements for This Phase	▪ Alignment at the team, department/division and University-wide has occurred ▪ Leadership Team has approved the final compensation budget ▪ As appropriate, PIPs have been completed by manager and shared with employee (no later than 30 days post-evaluation)
Key Outcomes Expected	▪ Manager has held a formal discussion with each of his/her employees to share any compensation decisions

Forms and Tools

Tools

The following tools are included here for your convenience if you wish to print them out to use them:

- Performance and Development Forms
- Employee Orientation Review
- Ongoing Feedback Summary Form
- Conversation Planning Key Questions for Managers
- Customer/Colleague Feedback Form
- Giving Positive Feedback Worksheet
- Giving Corrective Feedback Worksheet

NOVA SOUTHEASTERN UNIVERSITY

Performance and Development Form — People Managers

Employee Name: John Jones **Job Title:** Manager

Supervisor Name: Mary Smith **Date:** July 1, 2012

This form is to be used throughout the performance year by the employee and his/her supervisor to communicate performance expectations, monitor progress, evaluate performance, and document ongoing dialogue between the employee and supervisor.

Rating Definitions

Rating	Performance Description
Exceptional Contribution	**Frequently exceeded expectations**. Employee was an exceptional contributor to the success of his/her department and NSU. He/she demonstrated role model behaviors
Successful Contribution	Consistently **met expectations and occasionally exceeded** expectations. Employee was a solid contributor to the success of his/her department and NSU
Unsatisfactory Contribution	Delivers **inconsistent contributions.** Improvement is needed to accomplish expected results. If the overall performance rating is Unsatisfactory Contribution, the employee will be placed on a Performance Improvement Plan with a follow-up review occurring as specified by the supervisor.

Annual Goals (25% weight)

At the start of the fiscal year in each employee should meet with his/her supervisor to discuss and confirm expectations for the new performance year. In consultation with the supervisor, each employee should draft four to eight Annual Goals that support overall departmental goals and that cascade down from the University Strategic Initiatives and Business Plan. The goals must meet the SMART goal criteria. Supervisors can mark one to two goals as critical.

In the middle of the performance year the supervisor and employee should meet and discuss progress being made towards meeting the Annual Goals, making any adjustments as needed and documenting the conversation.

At the end of the performance year, the supervisor should evaluate the employee on each Annual Goal. As a part of this evaluation, the supervisor should review all relevant performance data including but not limited to informal multi-source feedback, job outcomes and the supervisor's personal assessment. Once the data has been reviewed, the supervisor summarizes employee performance against each Annual Goals detailing progress & results and assigning a performance rating for each goal, providing one to three key Strengths and one to three Areas for Improvement and Development in the Summary of Performance table, and enters the final ratings into the Ratings table, both tables can be found below.

Note: if a goal(s) is noted as critical, and it is not met, the year-end assessment for the un-met goal marked below should be "Unsatisfactory Contribution".

Annual Goals Progress & Results	If this goal is critical, mark the box below	Year-end Assessment (Mark only one box for each Goal)		
		Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
1.	☐	☐	☐	☐
2.	☐	☐	☐	☐
3.	☐	☐	☐	☐
4.	☐	☐	☐	☐
5.	☐	☐	☐	☐

Core Values (25% weight)

At the start of the performance appraisal year, each employee should meet with his/her supervisor to discuss what each Core Value means for his/her job. Please review the Core Value behavioral indicators below.

In the middle of the performance appraisal year, the supervisor and employee discuss Core Values during the mid-year meeting, documenting the conversation.

At the end of the performance year, the supervisor should evaluate the employee on each Core Value, providing one to three key Strengths and one to three Areas for Improvement and Development in the Summary of Performance table, and enters the final ratings into the Ratings table, both tables can be found below.

Core Values	Year-End Assessment (Mark only one box for each Core Value)		
	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
Academic Excellence • Provides top quality resources and services to support academic excellence • Identifies issues that might affect academic excellence and escalates them to the appropriate stakeholder(s) or, if appropriate, participates in designing/implementing solutions • Supports a culture and environment that fosters learning	☐	☐	☐
Student Centered • Treats students with respect and dignity • Actively listens to and is responsive to students' questions and/or concerns in a timely manner, regardless of mode of communication • Encourages and, when applicable, incorporates students' input	☐	☐	☐

Integrity • Adheres to policies and practices in order to service stakeholders with honesty and fairness • Demonstrates fiscal responsibility and operates as a steward of NSU's resources • Openly admits mistakes and takes actions to correct situations or change behavior • Holds self accountable for making principled decisions	☐	☐	☐
Innovation • Asks questions and constructively challenges existing processes and assumptions with novel, creative ideas • Embraces change, when appropriate, and takes on new challenges • Seeks, accepts and builds upon constructive feedback to develop novel and improved ideas • Supports an environment and culture among cross-functional teams to foster creativity	☐	☐	☐
Opportunity • Seeks and participates in additional learning opportunities inside and outside his/her area of responsibility • Demonstrates initiative to enhance learning opportunities for professional growth and development • Acts as a role model to demonstrate growth, competence and professionalism	☐	☐	☐
Scholarship / Research • Maintains awareness and understanding of the role of NSU's activities in scholarship and research • Supports a culture and environment for scholarship/research • Pursues new information and makes improvements based upon this knowledge	☐	☐	☐
Diversity • Complies with all NSU workplace policies including federal, state and local • Listens to all internal and external stakeholders' opinions and points of view • Intervenes promptly when inappropriate behavior occurs and/or refers observed inappropriate behavior to the appropriate personnel	☐	☐	☐

Community • Serves as an NSU ambassador by representing the University in a professional manner when engaging with the internal and external community • Shares information readily with others and responds to questions appropriately (or refers them to the appropriate personnel) to promote community engagement • Demonstrates commitment to the University through his/her actions and interactions within the internal and external community	☐	☐	☐

People Management (50%)

At **the start of the fiscal year**, each supervisor should meet with his/her supervisor and confirm what each People Management behavior means for his/her job. Please review the People Management behavioral indicators to gain a full understanding of these expectations.

In the middle of the performance appraisal year, the supervisor and employee discuss People Management expectations, documenting the conversation.

At the end of the performance year, the supervisor should evaluate the employee on each People Management Behavioral indicator, providing one to three key strengths and one to three areas for development in the Summary of Performance table below. Once the data has been reviewed, the supervisor summarizes employee performance and assigns a performance rating for each.

People Management	Year-End Rating (X only one box for each Performance Expectation)		
	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
1. Conducts individual goal-setting and progress meetings: Partners with each direct report to set/review performance expectations aligned with NSU's mission and strategic plan; monitors progress and sets direction throughout the year focusing employees on goal attainment and successful demonstration of NSU Core Values	☐	☐	☐
2. Coaches for success: Provides ongoing, constructive and balanced feedback (both strengths and areas for improvement) to support further development within job and potential future jobs; consistently monitors progress and provides suggestions for future success	☐	☐	☐
3. Shows managerial courage: Makes informed judgments of performance during the year and at year-end evaluation; ensures clear differentiation between performance levels of employees; takes quick action on poor performance	☐	☐	☐
4. Differentiates rewards: Leverages recognition and reward systems commensurate with individual and team performance levels	☐	☐	☐

People Management	Year-End Rating (X only one box for each Performance Expectation)		
	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
5. Champions talent development: Inspires development of internal talent; targets challenging developmental assignments that build required capabilities; enjoys watching others make progress and provides the necessary support; implements team learning processes and ensures internal knowledge transfer and skill building	☐	☐	☐
6. Identifies talent gaps (Managers of managers only): Determines the mix and level of talent required to support current and future objectives; assesses key strengths and skill gaps of current talent pipeline	☐	☐	☐
7. Recruits strategically (Managers of managers only): Attracts and recruits internal and external talent to ensure the University will be appropriately staffed to meet current and future goals and challenges	☐	☐	☐

Summary of Performance and Ratings

In advance of the Annual Performance Meeting, the supervisor should review the employee's annual performance and provide a written summary of the employee's Strengths and Areas for Improvement and Development in the table below. Supervisors should take into account all available performance information (e.g., work product, productivity, feedback from internal customers, etc.) to complete this section. Please specify what the employee needs to do in the coming year to build upon their Strengths and to improve the Performance Category items identified as Areas for Improvement and Development in the Performance table below.

At the end of the performance year, the supervisor should evaluate the employee in each Performance Category, providing a rating in the Ratings table below.

Performance

Evaluation Area	Strengths	Areas for Improvement & Development
Goals	**1.** **2.** **3.**	**1.** **2.** **3.**
Core Values	**1.** **2.** **3.**	**1.** **2.** **3.**
People Management	**1.** **2.** **3.**	**1.** **2.** **3.**

Ratings

Performance Category	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
Overall Goal Rating	☐	☐	☐
Overall Core Value Rating	☐	☐	☐
Overall People Management Rating	☐	☐	☐
Overall Performance Rating This rating should be based on the supervisor's overall assessment of the employee's performance, and is not necessarily an average of the ratings.	☐	☐	☐

Professional Development

Define two to four specific action items for professional development at NSU. Focus on what the employee needs to do going forward to further develop in his/her role and in their career. Consider the following as potential professional development activities:

- On the job training/projects
- Job rotation
- New assignments/projects
- Training others
- External education/training courses
- Internal training courses
- Self study
- Mentoring

Action Steps for Professional Development	Timing
1. 2. 3. 4.	

Career Interests (this section optional)

In the space below, the supervisor or employee should document the employee's career development interests at NSU.

Career Interests at NSU	
Short-term (next two years)	
Long-term (three years or more)	

Employee rating will not be influenced if this section is left blank.

NSU
NOVA SOUTHEASTERN UNIVERSITY

Performance and Development Form Professional

Employee Name: ______________________________ **Job Title:** _______________________

Supervisor Name: ______________________________ **Date:** __________________________

This form is to be used throughout the performance year by the employee and his/her supervisor to communicate performance expectations, monitor progress, evaluate performance, and document ongoing dialogue between the employee and supervisor.

Rating	Performance Description
Exceptional Contribution	**Frequently exceeded expectations**. Employee was an exceptional contributor to the success of his/her department and NSU. He/she demonstrated role model behaviors
Successful Contribution	Consistently **met expectations and occasionally exceeded** expectations. Employee was a solid contributor to the success of his/her department and NSU
Unsatisfactory Contribution	Delivers **inconsistent contributions.** Improvement is needed to accomplish expected results. If the overall performance rating is Unsatisfactory Contribution, the employee will be placed on a Performance Improvement Plan with a follow-up review occurring as specified by the supervisor.

Principal Responsibilities (25% weight)

At the start of the fiscal year each employee should meet with his/her supervisor to discuss Principal Responsibilities as reflected in the job description, and confirm expectations for the new performance year.

In the middle of the performance year the supervisor and employee discuss Principal Responsibilities during the mid-year meeting, documenting the conversation.

At the end of the performance year, the supervisor should evaluate the employee on Principal Responsibilities. As a part of this evaluation, the supervisor should review all relevant performance data including but not limited to, informal multi-source feedback, job outcomes and the supervisor's personal assessment. Once the data has been reviewed, the supervisor summarizes employee performance in Summary of Performance table below, and assigns a performance rating.

Principal Responsibilities	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
This rating should be based on the supervisor's overall assessment of the employee's Principal Responsibilities.	☐	☐	☐

Annual Goals (50% weight)

At the start of the fiscal year in July, each employee should meet with his/her supervisor to discuss and confirm expectations for the new performance year. In consultation with the supervisor, each Professional employee should draft four to eight Annual Goals that support overall departmental goals. The goals must meet the SMART goal criteria. Supervisors can mark one to two goals as critical. If a goal is noted as critical and it is not met, it will likely result in an Overall Goal Assessment of Unsatisfactory Contribution.

In the middle of the performance appraisal year, the supervisor and employee discuss Annual Goals, documenting the conversation and updating goals as necessary.

At the end of the performance year, the supervisor should evaluate the employee on each Goal. As a part of this evaluation, the supervisor should review all relevant performance data including but not limited to, informal multi-source feedback, job outcomes and the supervisor's personal assessment. Once the data has been reviewed, the supervisor summarizes employee performance against each goal in the Annual Goal column and assigns a Year-End Assessment.

Note: if a goal(s) is noted as critical, and it is not met, the year-end assessment marked below for the un-met goal marked below should be "Unsatisfactory Contribution".

Annual Goals Progress & Results	If this goal is critical, mark the box below	Year-End Assessment (Mark only one box for each Goal)		
		Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
6.	☐	☐	☐	☐
7.	☐	☐	☐	☐
8.	☐	☐	☐	☐
9.	☐	☐	☐	☐
10.	☐	☐	☐	☐
11.	☐	☐	☐	☐

Core Values (25% weight)

At the start of the performance appraisal year, each employee should meet with his/her supervisor to discuss what each Core Value means for his/her job. Please review the Core Value behavioral indicators below.

In the middle of the performance appraisal year, the supervisor and employee discuss Core Values, documenting the conversation.

At the end of the performance year, the supervisor should evaluate the employee on each Core Value, providing one to three key Strengths and one to three Areas for Improvement and Development in the Summary of Performance table, and enters the final ratings into the Ratings table, both tables can be found below.

Core Values	Year-End Assessment (Mark only one box for each Core Value)		
	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
Academic Excellence ▪ Provides top quality resources and services to support academic excellence ▪ Identifies issues that might affect academic excellence and escalates them to the appropriate stakeholder(s) or, if appropriate, participates in designing/implementing solutions ▪ Supports a culture and environment that fosters learning	☐	☐	☐
Student Centered ▪ Treats students with respect and dignity ▪ Actively listens to and is responsive to students' questions and/or concerns in a timely manner, regardless of mode of communication ▪ Encourages and, when applicable, incorporates students' input	☐	☐	☐
Integrity ▪ Adheres to policies and practices in order to service stakeholders with honesty and fairness ▪ Demonstrates fiscal responsibility and operates as a steward of NSU's resources ▪ Openly admits mistakes and takes actions to correct situations or change behavior ▪ Holds self accountable for making principled decisions	☐	☐	☐
Innovation ▪ Asks questions and constructively challenges existing processes and assumptions with novel, creative ideas ▪ Embraces change, when appropriate, and takes on new challenges ▪ Seeks, accepts and builds upon constructive feedback to develop novel and improved ideas ▪ Supports an environment and culture among cross-functional teams to foster creativity	☐	☐	☐

Core Values	Year-End Assessment (Mark only one box for each Core Value)		
	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
Opportunity ▪ Seeks and participates in additional learning opportunities inside and outside his/her area of responsibility ▪ Demonstrates initiative to enhance learning opportunities for professional growth and development ▪ Acts as a role model to demonstrate growth, competence and professionalism	☐	☐	☐
Scholarship / Research ▪ Maintains awareness and understanding of the role of NSU's activities in scholarship and research ▪ Supports a culture and environment for scholarship/research ▪ Pursues new information and makes improvements based upon this knowledge	☐	☐	☐
Diversity ▪ Complies with all NSU workplace policies including federal, state and local ▪ Listens to all internal and external stakeholders' opinions and points of view ▪ Intervenes promptly when inappropriate behavior occurs and/or refers observed inappropriate behavior to the appropriate personnel	☐	☐	☐
Community ▪ Serves as an NSU ambassador by representing the University in a professional manner when engaging with the internal and external community ▪ Shares information readily with others and responds to questions appropriately (or refers them to the appropriate personnel) to promote community engagement ▪ Demonstrates commitment to the University through his/her actions and interactions within the internal and external community	☐	☐	☐

Summary of Performance and Ratings

In advance of the Annual Performance Meeting, the supervisor should review the employee's annual performance and provide a written summary of the employee's Strengths and Areas for Improvement and Development in the table below. Supervisors should take into account all available performance information (e.g., work product, productivity, feedback from internal customers, etc.) to complete this section. Please specify what the employee needs to do in the coming year to build upon their Strengths and to improve the Performance Category items identified as Areas for Improvement and Development in the Performance table below.

At the end of the performance year, the supervisor should evaluate the employee in each Performance Category, providing a rating in the Ratings table below.

Performance

Evaluation Area	Strengths	Areas for Improvement/Development
Principal Responsibilities	**1.** **2.** **3.**	**1.** **2.** **3.**
Goals	**1.** **2.** **3.**	**1.** **2.** **3.**
Core Values	**1.** **2.** **3.**	**1.** **2.** **3.**

Ratings

Performance Category	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
Overall Principal Responsibility Rating	☐	☐	☐
Overall Goal Rating Note: if a goal(s) is noted as critical, and the goal is not met, goal assessment should be "Unsatisfactory Contribution".	☐	☐	☐
Overall Core Value Rating	☐	☐	☐
Overall Performance Rating This rating should be based on the supervisor's overall assessment of the employee's performance, and is not necessarily an average of the ratings.	☐	☐	☐

Professional Development

Define two to four specific action items for professional development at NSU. Focus on what the employee needs to do going forward to further develop in his/her role and in their career. Consider the following as potential professional development activities:

- On the job training/projects
- Training others
- Self study
- Job rotation
- External education/training courses
- Mentoring
- New assignments/projects
- Internal training courses
-

Action Steps for Professional Development	Timing
1. 2. 3. 4.	

Career Interests (this section optional)

In the space below, the supervisor or employee should document the employee's career development interests at NSU.

Career Interests	
Short-term (next two years)	
Long-term (three years or more)	

Employee rating will not be influenced if this section is left blank.

NOVA SOUTHEASTERN UNIVERSITY

Performance and Development Form Technical / Associate

Employee Name: John Jones, Job Title: Administrative Assistant I

Supervisor Name: Mary Smith **Date: July 1, 2012**

This form is to be used throughout the performance year by the employee and his/her supervisor to communicate performance expectations, monitor progress, evaluate performance, and document ongoing dialogue between the employee and supervisor.

Rating Definitions

Rating	Performance Description
Exceptional Contribution	**Frequently exceeded expectations**. Employee was an exceptional contributor to the success of his/her department and NSU. He/she demonstrated role model behaviors
Successful Contribution	Consistently **met expectations and occasionally exceeded** expectations. Employee was a solid contributor to the success of his/her department and NSU
Unsatisfactory Contribution	Delivered **inconsistent contributions.** Improvement needed to accomplish expected results. If the overall performance rating is Unsatisfactory Contribution, the employee will be placed on a Performance Improvement Plan with a follow-up review occurring as specified by the supervisor.

Job-specific Goals (75% weight)

At the start of the performance appraisal year, each employee should meet with his/her supervisor to discuss and confirm expectations for the current performance year. Each Technical and Associate employee should review the Job-specific Goals in the space below. Employees and supervisors may add specific initiatives to Job-specific Goals or add one to two additional annual goals for the performance year.

In the middle of the performance appraisal year, supervisors and employees should meet to discuss progress being made towards meeting Job-specific Goals, initiatives, or annual goals, documenting the conversation.

At the end of the performance year, the supervisor should evaluate the employee on each Job-specific goal. As a part of this evaluation, the supervisor must review all relevant performance data including, but not limited to, informal multi-source feedback, job outcomes and the supervisor's personal assessment. Once the data has been reviewed, the supervisor summarizes employee performance, providing one to three key Strengths and one to three Areas for Improvement and Development in the Summary of Performance table, and enters the final ratings into the Ratings table, both tables can be found below.

Job-specific Goals Progress & Results	Year-End Assessment (Mark only one box for each Goal)		
	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
12. Responds to inquiries and resolves non-complex problems requiring general understanding of work-area policies and procedures to ensure questions are addressed and resolved in a timely manner. (employee / supervisor may also define include sub-initiatives)	☐	☐	☐
13. Composes, edits, proofreads, and types basic documents; creates mail merges and performs mass mailings; photocopies and collates basic material to ensure timely communication and retention of documents. (employee / supervisor may also define include sub-initiatives)	☐	☐	☐
14. Enters data and generates reports from NSU specific systems to ensure accurate processing and record keeping. (employee / supervisor may also define include sub-initiatives)	☐	☐	☐
15. Prepares forms such as purchasing and accounting forms for approval; checks discrepancies in reports and follows up to ensure accuracy. (employee / supervisor may also define include sub-initiatives)	☐	☐	☐
16. Coordinates schedules meetings/events, maintains calendars and travel arrangements to ensure timely scheduling. (employee / supervisor may also define include sub-initiatives)	☐	☐	☐
17. (employee / supervisor may also include additional annual goal added here)	☐	☐	☐
18. (employee / supervisor may also include additional annual goal added here)	☐	☐	☐

Core Values (25% weight)

At the start of the performance appraisal year, each employee should meet with his/her supervisor to discuss what each Core Value means for his/her job. Please review the Core Value behavioral indicators below.

In the middle of the performance appraisal year, the supervisor and employee discuss Core Values, documenting the conversation.

At the end of the performance year, the supervisor should evaluate the employee on each Core Value, providing one to three key Strengths and one to three Areas for Improvement and Development in the Summary of Performance table, and enters the final ratings into the Ratings table, both tables can be found below.

Core Values	Year-End Assessment (Mark only one box for each Core Value)		
	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
Academic Excellence • Provides top quality resources and services to support academic excellence • Identifies issues that might affect academic excellence and escalates them to the appropriate stakeholder(s) or, if appropriate, participates in designing/implementing solutions • Supports a culture and environment that fosters learning	☐	☐	☐
Student Centered • Treats students with respect and dignity • Actively listens to and is responsive to students' questions and/or concerns in a timely manner, regardless of mode of communication • Encourages and, when applicable, incorporates students' input	☐	☐	☐
Integrity • Adheres to policies and practices in order to service stakeholders with honesty and fairness • Demonstrates fiscal responsibility and operates as a steward of NSU's resources • Openly admits mistakes and takes actions to correct situations or change behavior • Holds self accountable for making principled decisions	☐	☐	☐
Innovation • Asks questions and constructively challenges existing processes and assumptions with novel, creative ideas • Embraces change, when appropriate, and takes on new challenges • Seeks, accepts and builds upon constructive feedback to develop novel and improved ideas • Supports an environment and culture among cross-functional teams to foster creativity	☐	☐	☐
Opportunity • Seeks and participates in additional learning opportunities inside and outside his/her area of responsibility • Demonstrates initiative to enhance learning opportunities for professional growth and development • Acts as a role model to demonstrate growth, competence and professionalism	☐	☐	☐
Scholarship / Research • Maintains awareness and understanding of the role of NSU's activities in scholarship and research • Supports a culture and environment for	☐	☐	☐

<table>
<tr><th rowspan="2">Core Values</th><th colspan="3">Year-End Assessment
(Mark only one box for each Core Value)</th></tr>
<tr><th>Unsatisfactory Contribution</th><th>Successful Contribution</th><th>Exceptional Contribution</th></tr>
<tr><td>scholarship/research
• Pursues new information and makes improvements based upon this knowledge</td><td></td><td></td><td></td></tr>
<tr><td>Diversity
• Complies with all NSU workplace policies including federal, state and local
• Listens to all internal and external stakeholders' opinions and points of view
• Intervenes promptly when inappropriate behavior occurs and/or refers observed inappropriate behavior to the appropriate personnel</td><td>☐</td><td>☐</td><td>☐</td></tr>
<tr><td>Community
• Serves as an NSU ambassador by representing the University in a professional manner when engaging with the internal and external community
• Shares information readily with others and responds to questions appropriately (or refers them to the appropriate personnel) to promote community engagement
• Demonstrates commitment to the University through his/her actions and interactions within the internal and external community</td><td>☐</td><td>☐</td><td>☐</td></tr>
</table>

Summary of Performance and Ratings

In advance of the Annual Performance Meeting, the supervisor should review the employee's annual performance and provide a written summary of the employee's Strengths and Areas for Improvement and Development in the table below. Supervisors should take into account all available performance information (e.g., work product, productivity, feedback from internal customers, etc.) to complete this section. Please specify what the employee needs to do in the coming year to build upon their Strengths and to improve the Performance Category items identified as Areas for Improvement and Development in the Performance table below.

At the end of the performance year, the supervisor should evaluate the employee in each Performance Category, providing a rating in the Ratings table below.

Performance

Performance Catego	Strengths	Areas for Improvement a Development
Job-specific Goals	**1.** **2.** **3.**	**1.** **2.** **3.**
Core Values	**1.** **2.** **3.**	**1.** **2.** **3.**

Ratings

Performance Category	Unsatisfactory Contribution	Successful Contribution	Exceptional Contribution
Overall Goal Rating	☐	☐	☐
Overall Core Value Rating	☐	☐	☐
Overall Performance Rating This rating should be based on the supervisor's overall assessment of the employee's performance, and is not necessarily an average of the ratings.	☐	☐	☐

Professional Development

Define two to four specific action items for professional development at NSU. Focus on what the employee needs to do going forward to further develop in his/her role and in their career. Consider the following as potential professional development activities:

- On the job training/projects
- Job rotation
- New assignments/projects
- Training others
- External education/training courses
- Internal training courses
- Self study
- Mentoring
-

Action Steps for Professional Development	Timing
1. 2. 3. 4.	

Career Interests (this section optional)

In the space below, the supervisor or employee should document the employee's career development interests at NSU.

Career Interests	
Short-term (next two years)	
Long-term (three years or more)	

Employee rating will not be influenced if this section is left blank.

Nova Southeastern University

Employee 90 Day Orientation Review

NOVA SOUTHEASTERN UNIVERSITY
Shark Performance Management Program
GOALS • VALUES • RECOGNITION

☐ Technical/Associate ☐ Professional ☐ People Manager

Employee Name:___________________ Employee ID: N_______________ Hire Date:_________

Position:___________ Dept:_____________

At the end of the 90 day orientation period, the supervisor should evaluate the employee on Principle Responsibilities and demonstration of Core Values. As part of the evaluation, the supervisor should review all relevant performance data including but not limited to informal multi-source feedback, job outcomes and the supervisor's own observation. For people managers, assessment should include an evaluation of the individual's people management skills. Once the data has been reviewed, the supervisor summarizes feedback on employee performance in the comment section below and indicates if the employee passed orientation.

Performance Assessment (completed by supervisor):

Employee's Comments:

Satifactorily Passed Orientation? ☐ Yes ☐ No

If no, extend # days ☐ 30 ☐ 60 ☐ 90

Reason for Extension:____

Evaluated By:____________________________________

Reviewed By:____________________________________
(next level supervisor)

Employee's Acknowledgment of Receipt:

________________________________ ____________
Signature Date

Ongoing Feedback Summary Form

Ongoing Feedback Summary Form

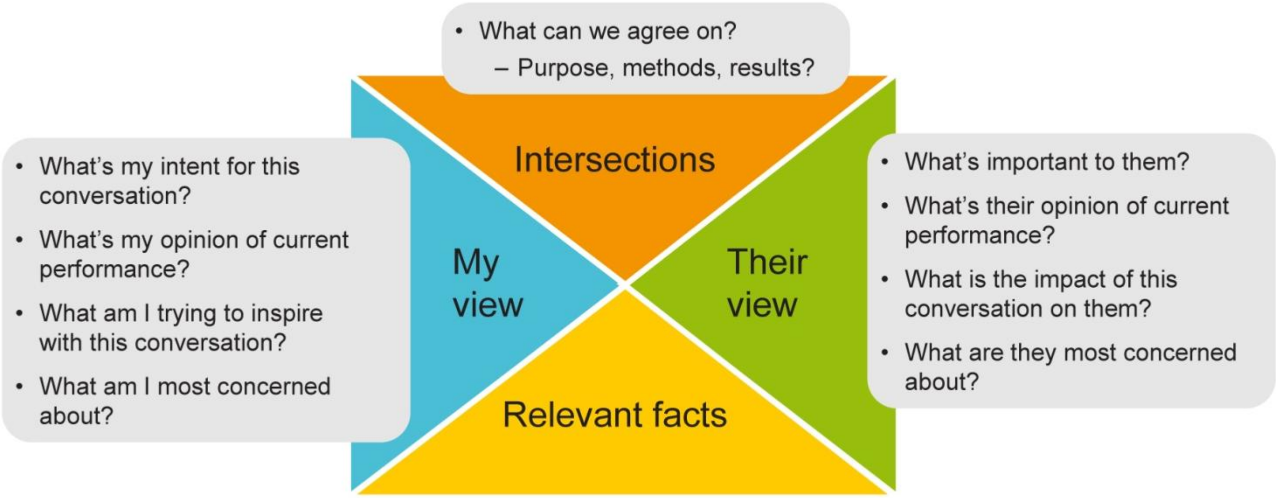
Employee Name: ______________________

Performance Year: ______________________

Date	Relevant Goal	Timeframe for Completion	Measure of Success

Conversation Planning Key Questions for Managers

To prepare for any feedback discussion, take the time to respond to the following questions. Doing so can ensure that you have a meaningful coaching and feedback discussion that both you and the employee will find valuable and actionable.



Customer/Colleague Feedback Form

Customer/Colleague Feedback Form
Feedback Requested for: ________________________________   **Date Feedback Is Due:** ________________________________   **Requestor:** ________________________________
Instructions: You are being contacted because you interact with the employee noted above in the course of your work. Gathering your insights about the employee's performance is a valuable contribution to the year-end process.   Please provide feedback by the date indicated and return to me. Note that your identity will be known to me, the employee's manager, but not the employee. I will summarize all information received and will only provide the employee with key themes.
▪ **Overall for the past year, how would you evaluate ________'s performance based on your expectations as an internal customer/peer?**
▪ **What are ________'s greatest strengths? Please provide examples of how he/she has demonstrated these results/behaviors effectively.**
▪ **What are ________'s primary area(s) for development? Please provide examples of how he/she has not effectively demonstrated the result(s)/behavior(s) as well as your development suggestions for improving the result/behavior?**

Customer/Colleague Feedback Form
Feedback Requested for: ______________________________________   **Date Feedback Is Due:**______________________________________   **Requestor:** ______________________________________
Instructions: You are being contacted because you interact with the employee noted above in the course of your work. Gathering your insights about the employee's performance is a valuable contribution to the year-end process.   Please provide feedback by the date indicated and return to me. Note that your identity will be known to me, the employee's manager, but not the employee. I will summarize all information received and will only provide the employee with key themes.
▪ **Do you have any other performance feedback you would like to share on _______?**

Giving Positive Feedback Worksheet (for People Managers)

Positive Feedback Worksheet	
Name of Receiver: ____ **Deadline to Give Feedback:** ____	
3) What are current actions/behaviors ?	

Positive Feedback Worksheet	
4) What are the current results?	

Giving Corrective Feedback Worksheet (for People Managers)

Corrective Feedback Worksheet	
Name of Receiver: ______________________________	
Deadline to Give Feedback: ______________________________	
5) What are the current actions/behaviors?	
6) What are the current results?	
7) What are the alternative actions/behaviors needed?	
8) What are the alternative results needed?	