Table Of Contents

1. Overview Red
   Introduction–Purpose, Importance, & Value.................................................................1
   Objectives of the Performance Management Process...............................................2
   A Shared Responsibility–Roles of Supervisor & Employee........................................3
   Performance Management Cycle..............................................................................4
   Steps & Responsibilities in Performance Management Process..................................5

2. Links to Mission & Next Steps Orange
   Flow: Mission to Individual Objectives ......................................................................7
   SMC's Mission ..............................................................................................................7-a
   Our Three Traditions .................................................................................................7-b
   Twelve Virtues ...........................................................................................................7-c
   Next Steps ..................................................................................................................7-d

3. Coaching & Communication Gold
   Coaching .....................................................................................................................9
   Communication Overview .........................................................................................10
   Giving & Receiving Feedback ....................................................................................11
   What is Performance Feedback ................................................................................11
   Three Components of Feedback .............................................................................11
   Asking for Feedback ..................................................................................................12
   Giving Feedback ........................................................................................................12
   Guidelines for Giving Constructive Feedback .........................................................12
   DESC Script ...............................................................................................................13
   "I" Statements ............................................................................................................14
   Tips on Giving Feedback ..........................................................................................15
   What Affects How We Give and Hear Feedback .....................................................15
   Receiving Feedback ..................................................................................................15
   Listening ....................................................................................................................16
   Overview ....................................................................................................................16
   Listening Skills ..........................................................................................................16
   Active Listening ........................................................................................................16
   Model ..........................................................................................................................16
   Key Points ..................................................................................................................17
   Listening Techniques .................................................................................................17
   Creating a Comfortable Environment for Coaching, Feedback & Reviews.............18

4. Sample Forms & Instructions Yellow
   Instructions for Performance Reviews......................................................................22-a
   Performance Review for Supervisors..........................................................................24-a
   Performance Review for Staff (Non-Supervisory)......................................................26-a
   Instructions for Progress Reviews...........................................................................28-a
   Progress Review for Supervisors.............................................................................30-a
   Progress Review for Staff (Non-Supervisory)............................................................32-a
# Table of Contents (cont'd)

**5. Performance Planning**

- Overview and Steps ................................................................. 33
- Four Key Job Dimensions ......................................................... 33
- Orienting A New Employee ....................................................... 34
- Writing S.M.A.R.T. Objectives .................................................. 34
  - Definition of Terms .......................................................... 34
  - S.M.A.R.T. Objectives and Standards ................................. 34
  - Sample Objectives on Performance Review Form ................. 36
  - Questions to Use for Developing Objectives ....................... 36
  - Showing Importance of Objectives .................................... 37
  - Performance Objectives Planning Worksheet ..................... 37
- Performance Competencies ...................................................... 38
  - Overview ............................................................................. 38
  - General Competencies ....................................................... 39
  - Supervisory & Management Competencies ......................... 40

**6. Progress Review**

- Overview .................................................................................. 41
- Key Steps .................................................................................. 41
- Sample Progress Review .......................................................... 42

**7. Performance Review**

- Overview .................................................................................. 43
- Key Steps .................................................................................. 43
- Preparation for Review ............................................................. 43
  - What the Supervisor Does ................................................... 43
  - Supervisor Checklist .......................................................... 44
  - What the Employee Does .................................................... 45
  - Employee Checklist ............................................................ 45
  - Some Sources of Feedback .................................................. 46
  - Some Questions to Ask When Seeking Feedback .................. 46
- Conducting & Completing the Review ....................................... 47
- Overview .................................................................................. 47
  - Definitions ............................................................................ 48
  - Behaviors at Each Rating Level – Examples for General Competencies ........................................ 50-a
  - Behaviors at Each Rating Level – Examples for Supervisory & Management Competencies ........ 52-a
- Example of Completed Performance Review for Supervisor ......................................................... 54-a
- Example of Completed Performance Review for Staff (Non-Supervisory) ..................................... 56-a
- Accomplishments ................................................................. 57
  - Writing Accomplishment Statements .................................. 57
  - Employee Accomplishment Worksheet ................................. 58
# Table of Contents (cont'd)

8. Recognizing Employees  
   **Overview** .......................................................................................................................................................69  
   Examples and Possibilities for Recognizing & Rewarding Employees .............................................................60

9. Development & Improvement Plans  
   **Development Plan** .........................................................................................................................................61  
   **Overview** ................................................................................................................................................61  
   **Blank Development Plan** .........................................................................................................................61-a  
   **Sample Development Plan** .....................................................................................................................61-b  
   **Plan for Improvement** ...............................................................................................................................62  
   **Overview** ................................................................................................................................................62  
   **Blank Plan for Improvement** ..................................................................................................................62-a  
   **Sample Plan for Improvement** ................................................................................................................62-b

10. Appendix  
    **Definition of Terms** .......................................................................................................................................63  
    **Checklist for Orienting New Employees** ..................................................................................................65  
    **References & Resources/Bibliography** ....................................................................................................66  
    **Endnotes** ..................................................................................................................................................67
1. Overview

INTRODUCTION—Purpose, Importance, and Value

What is Performance Management? Performance Management refers to a process of planning, coaching, review, feedback, and evaluation. It enables managers and employees to work together to discuss and understand performance expectations, monitor performance, offer feedback, review actual performance, and provide or receive coaching and training for ongoing development. It depends on manager-employee participation and cooperation.

The College’s Performance Management process for staff employees is designed to:
- provide meaningful feedback and support for employees,
- link to department goals and College’s mission and goals, and
- support the College’s Next Steps.

The process promotes a shared responsibility between supervisors/managers and employees for performance planning and assessment, ongoing two-way communication throughout the year, and opportunities for professional development and continuous learning.

What is the Performance Management Toolkit? The purpose of the Toolkit is to help you understand, and be successful in carrying out the new Performance Management process. It explains the College’s Performance Management process and its key steps, components, competencies and objectives. It also provides examples of the forms and of some objectives and comments. In addition, the Toolkit provides suggestions and approaches for coaching, giving and receiving feedback, listening, writing objectives, and providing recognition. The Appendix includes definitions and resources.

At-Will Policy: Nothing in this Performance Management process changes the College’s existing at-will policy, which provides that the College can terminate, with or without notice, an employee’s employment at any time for any lawful reason, with or without cause. Similarly, nothing in this performance management process should be construed or is intended as a promise that the College will or must engage in the corrective steps described below in every situation. Such steps (e.g., Plan for Improvement), when implemented, are at the discretion of the individual supervisor, in consultation with Human Resources, and depend on the circumstances presented in a given performance situation.
OBJECTIVES of the PERFORMANCE MANAGEMENT PROCESS

- Promote two-way communication, mutual goal-setting and feedback, and capability of reshaping expectations and objectives as year progresses
- Create setting for staff members to participate in shaping their job responsibilities and performance objectives and development
- Clarify College’s mission and goals and departmental goals
- Link individual’s performance with department goals and College’s mission, values and continuous learning process
- Clarify and reinforce core competencies (knowledge, skills, and behaviors) that are critical for success
- Provide meaningful feedback on employee performance
- Provide opportunities for professional development and continuous learning
- Be a flexible process that is adaptable for different positions and departments and at same time provide consistency across campus
- Provide framework for recognizing and rewarding staff performance
A SHARED RESPONSIBILITY—ROLES OF SUPERVISOR & EMPLOYEE

The success of the Performance Management process depends on the sharing of responsibility by supervisors/managers and staff members. The process encourages ongoing communication about an employee’s job and performance and the relationship to department goals and College goals.

<table>
<thead>
<tr>
<th>Role of Supervisor</th>
<th>Role of Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Interpret the College’s mission, goals, strategic initiatives</td>
<td>• Review the College’s mission, goals, strategic initiatives</td>
</tr>
<tr>
<td>• Share and communicate department goals and relevant information</td>
<td>• Understand department goals</td>
</tr>
<tr>
<td>• Explain policies, procedures &amp; processes</td>
<td>• Review &amp; follow pertinent policies, procedures &amp; processes</td>
</tr>
</tbody>
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<table>
<thead>
<tr>
<th>Role of Supervisor</th>
<th>Role of Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Help employee see how individual performance contributes to the College’s and department’s success or failure</td>
<td>• Work with supervisor to understand how their performance contributes to the College’s and department’s success or failure</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Role of Supervisor</th>
<th>Role of Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Clarify performance expectations: job responsibilities, standards &amp; goals</td>
<td>• Participate in process of clarifying performance expectations: job responsibilities, standards &amp; goals</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Role of Supervisor</th>
<th>Role of Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Provide feedback &amp; ongoing coaching</td>
<td>• Seek &amp; give feedback</td>
</tr>
<tr>
<td>• Remove obstacles and provide adequate resources, tools, &amp; support</td>
<td>• Remove barriers to action &amp; seek training &amp; support</td>
</tr>
<tr>
<td>• Communicate regularly, constructively and effectively</td>
<td>• Communicate regularly, constructively and effectively</td>
</tr>
<tr>
<td>• Encourage employees to complete self-assessment and obtain feedback from others</td>
<td>• Monitor one’s progress &amp; assess own performance</td>
</tr>
<tr>
<td>• Initiate progress review &amp; document</td>
<td>• Actively participate in all performance and coaching discussions &amp; reviews</td>
</tr>
<tr>
<td>• Initiate and jointly discuss annual review; document review as result of discussion &amp; forward to next level supervisor</td>
<td></td>
</tr>
<tr>
<td>• Recognize accomplishments</td>
<td></td>
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</table>
PERFORMANCE MANAGEMENT CYCLE

The Performance Management process is a continual cycle that goes on throughout the year. It is based on ongoing, back-and-forth communication between supervisor and staff member. Key components of the cycle are:

- **Planning and Goal Setting (Performance Planning)**, which includes communicating College mission and goals and department goals and developing individual performance expectations that are linked to the mission and goals.

- **Ongoing Coaching and Mutual Feedback** throughout the year, which includes reassessing expectations and progress, coaching by the supervisor, and professional development.

- **Mid Year Progress Review**, which includes a midyear discussion, assessment, and completion of the Progress Review by the supervisor and employee. This can occur more frequently.

- **End of Year Performance Review**, which includes assessment of the employee’s performance by the employee, customers and supervisor; discussion and feedback between the employee and supervisor and completion of the Performance Review. At this time the supervisor and employee start the performance planning process for the coming year.
## STEPS & RESPONSIBILITIES IN PERFORMANCE MANAGEMENT PROCESS

<table>
<thead>
<tr>
<th>Parts of the Process</th>
<th>Steps</th>
<th>Supv.</th>
<th>Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Planning &amp; Goal Setting</strong> (usually at start of performance period)</td>
<td>1. Supervisor prepares for performance planning by reviewing Performance Management Toolkit &amp; gathering appropriate information.</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>2. Supervisor reviews College mission &amp; goals and develops department goals with staff or shares already developed department goals with staff.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>3. Employee drafts performance objectives/standards or job responsibilities and discusses them with supervisor.</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>4. Supervisor shares performance expectations with employee. Supervisor and employee agree on objectives/standards/ responsibilities and record these in Section I of End of Year Performance Review form.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>5. Supervisor and employee review competencies and agree on behaviors &amp; actions that support these competencies.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Coaching, Mutual Feedback</strong> (ongoing)</td>
<td>6. Supervisor provides employee ongoing, regular performance coaching and feedback; employee receives coaching &amp; feedback and gives feedback to supervisor.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Mid Year Progress Review</strong> (usually Dec. – Jan. - can be more frequent)</td>
<td>7. Supervisor &amp; employee meet to discuss performance and reassess performance expectations &amp; progress. This is a two-way conversation with feedback between supervisor &amp; employee.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>8. As result of this meeting supervisor completes comments sections on Progress Review and makes appropriate changes to job responsibilities/objectives; supervisor &amp; employee sign &amp; each receives a copy.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>Coaching, Mutual Feedback</strong> (ongoing)</td>
<td>9. Supervisor provides employee ongoing, regular performance coaching and feedback; employee receives coaching &amp; feedback and gives feedback to supervisor.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td><strong>End of Year Performance Review</strong> (May-June)</td>
<td>10. In preparation for meeting with supervisor, employee assesses own performance for annual performance period using End of Year Performance Review form.</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>11. Supervisor gets feedback on employee’s performance from employee’s customers and schedules and prepares for performance review with employee.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td></td>
<td>12. Supervisor &amp; employee meet to discuss employee’s performance for performance period.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>13. Supervisor completes comment &amp; rating sections and Overall Performance Summary and shares with employee. Together they complete development plan and employee completes the employee comment section. All initial and sign as indicated.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>14. Supervisor reviews Performance Review with next level supervisor; next level supervisor signs. Copies are made for employee &amp; supervisor. Original is sent to Human Resources.</td>
<td>X</td>
<td></td>
</tr>
</tbody>
</table>
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2. **Links to Mission & Next Steps**

The Performance Management process provides supervisors and employees the opportunity to translate College and school/department goals into individual objectives for employees. As participants in the process, supervisors and employees can gain a clear understanding of shared expectations – of **what** needs to be achieved and **how**. Employees play a critical role in defining their objectives and helping the College achieve its mission, goals, and compliance with accreditation standards.

![SMC’s Mission & Values Diagram]

Saint Mary’s College is committed to a process of review, planning and continuous improvement. The College is accredited by the Western Association of Schools and Colleges (WASC), which encourages continuous improvement.

You can find the College mission, traditions, and Next Steps on the SMCNet website at: [http://smcnet.stmarys-ca.edu/about/](http://smcnet.stmarys-ca.edu/about/).
Saint Mary’s College
Mission Statement

As Saint Mary’s College enters the twenty-first century, it celebrates the three traditions which have sustained it since its earliest years and seeks its future in them: the classical tradition of liberal arts education, the intellectual and spiritual legacy of the Catholic Church, and the vision of education enunciated by Saint John Baptist De La Salle and developed by the Brothers of the Christian Schools and their colleagues in a tradition now more than 300 years old.

The Mission of Saint Mary’s College is:

To probe deeply the mystery of existence
by cultivating the ways of knowing and the arts of thinking.

Recognizing that the paths to knowledge are many, Saint Mary’s College offers a diverse curriculum which includes the humanities, arts, sciences, social sciences, education, business administration and nursing, serving traditional students and adult learners in both undergraduate and graduate programs. As an institution where the liberal arts inform and enrich all areas of learning, it places special importance on fostering the intellectual skills and habits of mind which liberate persons to probe deeply the mystery of existence and live authentically in response to the truths they discover. This liberation is achieved as faculty and students, led by wonder about the nature of reality, look twice, ask why, seek not merely facts but fundamental principles, strive for an integration of all knowledge, and express themselves precisely and eloquently.

To affirm and foster the Christian understanding of the human person which animates the educational mission of the Catholic Church.

Saint Mary’s College holds that the mystery which inspires wonder about the nature of existence is revealed in the person of Jesus Christ giving a transcendent meaning to creation and human existence. Nourished by its Christian faith, the College understands the intellectual and spiritual journeys of the human person to be inextricably connected. It promotes the dialogue of faith and reason; it builds community among its members through the celebration of the Church’s sacramental life; it defends the goodness, dignity and freedom of each person, and fosters sensitivity to social and ethical concerns. Recognizing that all those who sincerely quest for truth contribute to and enhance its stature as a Catholic institution of higher learning, Saint Mary’s welcomes members from its own and other traditions, inviting them to collaborate in fulfilling the spiritual mission of the college.

To create a student-centered educational community whose members support one another with mutual understanding and respect.

As a Lasallian college, Saint Mary’s holds that students are given to its care by God and that teachers grow spiritually and personally when their work is motivated by faith and zeal. The college seeks students, faculty, administrators and staff from different social, economic, and cultural backgrounds who come together to grow in knowledge, wisdom and love. A distinctive mark of a Lasallian school is its awareness of the consequences of economic and social injustice and its commitment to the poor. Its members learn to live “their responsibility to share their goods and their service with those who are in need, a responsibility based on the union of all men and women in the world today and on a clear understanding of the meaning of Christianity.” (From: The Brothers of the Christian Schools in the World Today: A Declaration).
Our Three Traditions

Catholic, Lasallian and Liberal Arts

Saint Mary's College celebrates three traditions: the classical tradition of liberal arts education, the intellectual and spiritual legacy of the Catholic Church, and the vision of education enunciated by Saint John Baptist De La Salle and developed by the Brothers of the Christian Schools and their colleagues in a tradition now more than 300 years old.

The Catholic tradition fosters a Christian understanding of the whole person. The Lasallian tradition, rooted in the Christian Brothers' commitment to teaching, supports education that is truly transformative. The Liberal Arts tradition ensures that students develop habits of critical thinking and a desire for lifelong learning.
The Twelve Virtues of a Good Teacher

In his *Recueil (Collection)*, published in Paris in 1717, De La Salle lists twelve qualities which every good teacher should possess. Brother Agathon (1731 – 1798), Superior General, popularized the Twelve Virtues, dedicating nearly a third of his 1785 circular to the virtue of gentleness.

1. **Dignity** [*la gravité*]: Seriousness, assurance, and presence. Respect is won by acting with composure.

2. **Calmness** [*le silence*]: In the Lasallian tradition, stillness and peace, rather than strict silence, marked the ideal classroom atmosphere.

3. **Humility** [*l’humilité*]: Modest, unassuming; willing to admit mistakes. Humility flowers into courtesy and into respect for pupils.

4. **Prudence** [*la prudence*]: Level-headed, of sound judgment, sensible, reasonable; a steadying quality in any circumstance.

5. **Wisdom** [*la sagesse*]: Act wisely and with discernment, circumspection, and sufficient knowledge to make sound judgments.

6. **Patience** [*la patience*]: Remain composed and even-tempered, especially in difficult moments.

7. **Self-Control** [*la retenue*]: Reserve, exhibit self-discipline and restraint when annoyed or provoked.

8. **Gentleness** [*la douceur*]: Meek, respectful, refined, amiable, kindly, and with good manners, qualities described in De La Salle’s work “Christian Politeness.”

9. **Zeal** [*le zéle*]: A blend of keenness, enthusiasm, and warmth; more practically, cheerful involvement in all aspects of the teaching vocation.

10. **Vigilance** [*la vigilance*]: Caring presence, with a watchful eye, in the way the Good Shepherd cares for his sheep.

11. **Prayerfulness** [*la piété*]: Raising up the mind and heart to God in prayer, ready to do all needed to prepare pupils for life.

12. **Generosity** [*la générosité*]: Unselfish, giving, and unconcerned with measuring one’s own efforts. The affection of those a teacher inspires is life long.
You should manifest courage and intrepidity in teaching...

your zeal and your faith being strengthened by the thought that you are God’s ministers and you act in his name.

Saint John Baptist De La Salle
INTRODUCTION

In May of 1999 I shared with the Saint Mary’s Community my vision for the future of the College based upon the three traditions at the core of our institution: Catholic, Lasallian, and Liberal Arts. This document developed from a year-long review of a draft by a number of faculty, staff, students, Trustees, Regents and alumni. At the conclusion of that vision statement, I identified five principles that would help direct our energy for a one-to-three year period.

Those five principles were: 1) We believe in teaching excellence to enhance student learning. 2) We develop citizens of the world. 3) We enrich the community through interdisciplinary opportunities. 4) We seek distinction through the application of knowledge. 5) We practice efficient management to optimize our goals.

Three years have passed since the 1999 Vision Statement, and we are ready now to take the next step in advancing these five principles to strengthen our identity as a quality learning community distinguished by our three traditions.

Based upon the work of academic program planning, WASC pre-visitation preparations, conversations with the deans of the College and my Cabinet, we are in a position to provide the Saint Mary’s community with direction and focus, consistent with our traditions, for the next five years that will distinguish Saint Mary’s from other institutions of higher education by accentuating areas where we excel over them.

Like the 1999 Vision Statement, this document comes from the community and returns to the community in its current form for “animation.”

THE NEXT STEP

We need to assert boldly that, by the year 2007, Saint Mary’s College of California will be the Catholic, Lasallian college known widely for its emphasis on creating the premier liberal arts learning community for its students.

What does this mean? First, it means we will recommit ourselves to our Catholic and Lasallian roots by providing outstanding quality educational programs, access for underprivileged students and outreach to those in need. We will create a vibrant community that promotes appreciation and understanding of how ethnicity, economic background and culture enrich how we learn by diversifying our student body, faculty and staff so that we reflect the society we serve.

This means we will focus our resources and energy to ensure that we are that extraordinary institution of higher education composed of excellent faculty, staff, and students committed to interactive, holistic learning and dedicated to assisting each other on paths of personal growth and spiritual salvation. This means that we will look at everything we do with one question in mind: how does it contribute to a transformative learning experience for all involved?

While there are tactical decisions that we must make in order to reach our goal, there are five primary questions that will serve as guides for specific action.

What leadership directions do we want to take among academic, professional, societal and spiritual communities?

What cultural attributes do we want to embrace?

How will we generate and allocate our financial resources to strengthen the learning community?

What facilities will we build and renovate?

How can we improve or change our infrastructure to support us?

CONCLUSION

I am looking forward to working with everyone at Saint Mary’s to determine the best ways to strengthen our learning community and our shared vision. Our students will be better served by our dialogue, decisions, and action.

Our expectations and hopes for Saint Mary’s must be challenging but realistic. We cannot address every issue, so we must assess and prioritize our needs and concentrate on what is attainable.
Let me share a graphic depiction of the focal areas we need to address as the Catholic, Lasallian college known widely for its emphasis on providing the premier liberal arts learning environment for students. The term “learning focused” is used in the diagram to emphasize that in large part the goal of our next steps is to strengthen our identity as a community of learners.
LEARNING FOCUSED LEADERSHIP

To be identified as a quality learning focused academy, we must set our sights high. We need recognition for our Great Books Collegiate Seminar program and our emphasis on liberal learning from such prestigious organizations as the Association of American Colleges and Universities, the Association of Catholic Colleges and Universities, the Association for Core Texts and Courses, and the American Academy of Liberal Education.

We need to stay contemporary and competitive in both our disciplinary and core curricula through engaging with associations in higher education directed toward Catholic and liberal education for the twenty-first century, highlighting our unique shared inquiry method, enhancing general education per the work of our program planning initiatives, and meeting our institutional need for a permanent infrastructure for review, assessment, and development of both general and disciplinary education.

To benefit our students further, we must continue the integration of multidisciplinary academic programs in the curriculum, targeting as manageable a number of new undergraduate courses as our resources will support. We have already seen what can be done in the environmental science degree programs in liberal arts and science, and I know there are many more ideas being considered that will result in exciting student and faculty learning opportunities across the curriculum.

We need to expand national and international collaborative activities with special focus on other Lasallian institutions. We must also foster more inter-institutional programs, again with special emphasis on Lasallian institutions, so our own students, faculty, and staff will have the opportunity to expand their horizons with other citizens of the world.

Because learning occurs outside the formal curriculum, we also need to work toward establishing more intentional partnerships between academic and student affairs programs. No better model exists than the Catholic Institute for Lasallian Social Action (CILSA) with its blending of the service learning pedagogy with a community-based learning focus, and academic examination and integration.

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We must identify instruments that measure the outcomes of our curricular and co-curricular programs on our students. The new National Survey of Student Engagement (NSSE) provides a vehicle not only to understand our students’ engagement but also to compare their engagement with student survey results from other four-year institutions. Understanding that relative positioning of our students with their peers across the country today, we will be able to establish goals for achievement and engagement the next five years.

LEARNING FOCUSED CULTURE

The Christian Brothers continue to animate the College. They are the heart and memory of the Lasallian charism. We must encourage and continue to enhance the commitment of the Brothers, in association with faculty and staff, to inspire our students with our core values and shared mission.

We must celebrate the strength of our faculty that advances student learning and discovery. We need to enhance opportunities for students to engage with faculty in research, provide faculty with enhanced opportunities to develop new forms of instructional delivery and to challenge them to continue research in their disciplines and the areas that have been identified as central to the Lasallian mission at the tertiary level.

These include support for faculty and student scholarship focusing on the causes of poverty and social justice, the needs of the poor, the rights of children, education for justice and peace and conservation of our ecosystem.

The staff shares in our learning culture and we must also celebrate and encourage their facilitation of student learning. We need to provide enhanced staff development opportunities, and encourage staff participation in the academic and co-curricular life of the campus.

Success in providing the Christian Brothers, faculty and staff with the resources and encouragement to enhance the environment within which our students’ minds, hearts and lives are transformed should result in greater student retention rates based upon satisfaction and clear evidence of our institution’s educational effectiveness.

We must also engage our alumni, parents and benefactors with our academic and co-curricular initiatives, encourage them to participate with the Christian Brothers, faculty, staff and students in achieving our five-year goals, and motivate them to seek out others to support the directions we are taking as well.
LEARNING FOCUSED FINANCES

Our students deserve to have a core faculty that, through continuous service to the College, will provide in each succeeding year of teaching greater opportunities for collaborative learning. To guarantee this, we must provide a compensation package to our faculty that makes it possible for them to be with the students not only during instructional time and office hours, but also for the casual conversation in the library, in the student union and residence halls as well as at athletic, recreational, cultural, intellectual and social events around the campus. The Faculty Salary Policy provides that opportunity by informing our faculty salaries by way of comparison with salaries at the Pacific States IIA group of colleges and universities.

We also must assure our students that the staff who support our faculty, provide so many essential services for our students, and engage our students in co-curricular learning experiences, are competent professionals and are offered compensation packages competitive with the marketplace.

We must not neglect the financial needs of our students while addressing those who assist them in their quest for knowledge. We must increase opportunities for needy students to attend, meeting a greater portion of their financial need, especially those students attending Saint Mary’s who are first generation college attendees or are a part of our expanding High Potential student population. At the same time, we must be competitive with our sister institutions in offering honors-at-entrance and student-athlete scholarships for gifted and qualified students who will challenge their fellow students, whether on or off campus.

To be a center of excellence, we must diversify our financial resources. Currently, over 93% of all income comes from tuition, room and board fees. We need to increase our endowment to at least $250 million, thereby providing $12.5 million a year to the operating budget of the College. A figure significantly higher than the $3.35 million currently being generated by our endowment of $67 million. The beginning of this drive for a greater endowment has been realized through gifts and bequests made to our successful capital campaign and recently highlighted by the estate of Frank J. Filippi that will add approximately $20 million to our endowment and will yield $1 million annually in perpetuity for scholarships, professorships and academic enrichment.

The net revenues from adult and graduate programs must also make a growing contribution to the core undergraduate institution. A full and graduate programs should have total net revenues (after both direct and indirect expenses) that provide at least 10% of the operating revenue of the College as a whole.

We must also strengthen the College’s operating budgets our students, faculty and staff depend upon to provide the academic and student programmatic stimulus for enriched learning experiences. Annual increases to non-salary budgets should be indexed to inflation, and the macro-budget should be equivalent to 1% of the total annual operating budget.

LEARNING FOCUSED FACILITIES

We need to match the development of the curriculum and co-curricular activities over the next five years with the addition of new facilities and the renovation of existing buildings.

First, and primary on the list, will be new homes for the schools of Liberal Arts and Education and the Department of Performing Arts. These academic facilities will be matched by renovations of Galileo Hall for the School of Science, the faculty office annex adjacent to the art gallery and the Rheem Center for the School of Extended Education. We also need to complete funding for a home for the School of Economics and Business Administration as well as find the support for a new library that will be complementary to the design of instructional space in the new academic buildings.

At the same time, we must provide additional opportunities for our faculty, staff and students outside of the classroom with the construction of a recreation/athletic/aquatic center, expanded dining facilities, renovation of existing residence halls and the construction of additional residence halls that will allow us to house 75% of the student body on campus.

We also need to give our talented young women and men who compete in intercollegiate athletics appropriate “fields of play”: a new baseball field, completion of the softball field, rejuvenation of the Saint Mary’s College Stadium and the soccer field, and the renovation of McKeon Pavilion. A long with assisting the more than 350 students who represent the College in intercollegiate sporting events, we need to address the recreational needs of our entire student body with expanded club and intramural recreational opportunities on campus.

LEARNING FOCUSED INFRASTRUCTURE

Besides the physical infrastructure, we need to address several other forms of infrastructure that will guarantee our students the efficient resources they need to benefit from the College’s learning environment. Through better coordination and integration of areas such as marketing, student admissions, registration, matriculation and advising processes, the College can both achieve financial efficiencies and improve service to her students. We must also improve administrative and academic technology to facilitate learning by providing course support on the web, completing enhanced connectivity to our students whether they reside on or off campus. We must deliver more robust media services to our instructional spaces and ensure the new library has state-of-the-art media and technology services.
These next steps flow from our Mission Statement and the vision I shared with you in 1999. They will be used to not only engage the campus community as we move forward, but also the Boards of Trustees and Regents, our alumni, parents and our benefactors.

As we approach 2007, let us stand together and in association, providing an outstanding liberal arts education, committing ourselves to our Catholic tradition to be impassioned advocates of a peaceful and just society, and enriching the culture of Lasallian service to others. This we must do to animate our mission and personify our unswerving focus on our core values of being a faithful, generous and human learning community.
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3. Coaching and Communication

COACHING

Coaching is a set of management skills and efforts aimed at influencing employee performance to achieve positive and productive results. It is most employed through one-on-one conversations and one-to-group communication when teams are involved.

The functions of coaching, in essence, provide direction, guidance, and support to develop people to perform to their fullest or to improve performance when it is not meeting expectations.¹

Supervisors are encouraged to provide ongoing coaching and feedback to an employee on his/her performance throughout the year. Key coaching activities are motivating, giving constructive feedback (positive and negative), guiding development, and guiding performance improvement.

The three dimensions of coaching are as follows:²

- **Inspire**
  - Create Commitment & Purpose
- **Instruct**
  - Build Competence & Confidence
- **Redirect**
  - Refocus & Align Performance

Improved Performance
Coaching Skills

- Setting objectives and performance expectations
- Giving performance feedback
- Conducting periodic performance review
- Instructing and training
- Mentoring to guide development
- Tutoring with questions
- Taking someone under your wing
- Stimulating and supporting career development
- Delegating to empower and achieve results
- Motivating employee performance
- Facilitating groups to perform as teams
- Intervening to build improvement in performance

Coaching Tips

- Observe continuously what employees do and how they do it.
- Take the time to give each employee daily feedback on his or her work.
- Let employees know what they did well and what could be improved as soon as possible after an observed incident or behavior.
- Guide employees by identifying not just the specific desired behavior but also its desired results.
- Give employees the benefit of your task and organizational expertise.
- Encourage employees to share their own experience and insights.
- Be willing to explore options with employees.
- Show tact when coaching an employee who needs improvement.
- Work with top performers to keep up their high standards and find new challenges.
- Use coaching to help employees improve, develop, and succeed, not to chastise.
- Be positive about the job, the employee, and the organization.
- Ask questions and listen actively to the answers and the reactions behind them.

COMMUNICATION OVERVIEW

Communication is the expression of ideas in both oral and written form, and involves both sender and receiver. It is the exchange of information, messages, opinions, and feelings and can be expressed verbally and non-verbally.

Communication Tips

1. Plan your communications
   - Know what you want any communication to achieve.
   - Outline your points and words in a clear, orderly manner.
   - Keep your communications brief, clear, and simple.
   - Limit your topics to avoid information overload.
   - Don’t make assumptions about audience knowledge.
   - Consider how your audience will receive your communication and how to offset any negative reactions.

2. Choose your words carefully
   - Use conversational language in speech and in writing.
   - Phrase things positively (“Do”) rather than negatively (“Don’t”).
   - Present instructions in a step-by-step format.
• Explain the why, not just the what, when possible.
• Restate your key points for emphasis.
• Minimize use of jargon.

3. **Check for understanding**
   • Encourage questions and feedback.
   • Follow up to test understanding.

All of the skills and actions of effective coaching are dependent on effective communication. In fact, two-way communication is important to the whole process of Performance Management. Two aspects of communication that are particularly important to the process are:

• Giving and Receiving Feedback, and
• Listening

Information and tools for doing both of these are described below.

**GIVING & RECEIVING FEEDBACK**

**What Is Performance Feedback?**

It is information to someone about an effort done, or not done, in his or her performance – usually delivered close in timing to the occurrence or pattern of behavior and intended to influence future behavior.

*Feedback is important because it…*

• Improves our performance and how we work together
• Shows others how we appreciate what they do
• Builds our relationships
• Tests the reality of our perceptions, reactions, observations or intentions
• Shares our feelings, concerns, and appreciations
• Influences someone to stop, start, do more of, or modify their behavior.

**Three Components of Feedback:**

![Diagram of GIVING & RECEIVING FEEDBACK](image)
Asking for Feedback:

- Use "encouraging" phrases
  - Did that meet your needs?
  - How am I doing?
  - What do you think worked well? (Or how did that go?)
  - What should I do differently next time? (Or what can be improved or changed?)
- Show by your body language that you are open to it (for example, eye contact, nodding, and uncrossed arms).
- Build feedback opportunities naturally into the work
  - Project start-up discussions
  - Project debriefs
  - Meetings with supervisor or staff member
  - Post-meeting discussions

We can ask for feedback from those we serve, our supervisors and colleagues. Asking for feedback may be more challenging than giving it. Keep in mind that asking for feedback can help build productive working relationships.

Giving Feedback

Constructive feedback includes both positive and negative feedback. Different from praise or criticism, constructive feedback is based on evidence, not on judgments or opinions. It is directed at a person’s performance, rather than at the person.

<table>
<thead>
<tr>
<th>Praise or Criticism</th>
<th>Constructive Feedback (Positive &amp; Negative)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Good Job. (Praise – too general)</td>
<td>Your work on the project was outstanding because … (specifics)</td>
</tr>
<tr>
<td>Why can’t you do it like Joe? (Criticism – comparing and blame)</td>
<td>The client was upset – do you understand why? (checking for understanding)</td>
</tr>
<tr>
<td>Why did you do that!! (Accusatory)</td>
<td>The report was missing a summary chart that would help the team understand the data. (specific and observable)</td>
</tr>
</tbody>
</table>

Guidelines for Giving Constructive Feedback

1. **The content of what you say**
   a. Identify the issue or topic of performance involved.
   b. Give example or other evidence in order to provide the specifics of what occurred.

2. **The manner in how you say it**
   a. Avoid beating around the bush; that is, get to the point and be direct in delivering your message.
   b. Be sincere so that you mean what you say and avoid giving mixed messages – the "yes-but" type of messages.
   c. When giving feedback on positive situations, to show care and gratitude, express appreciation, and on negative feedback situations, express concern in both your language and tone so people know you still care.
   d. Give the feedback face-to-face not through messengers of technology (e.g., e-mail).
   e. Give the feedback in a factual and nonjudgmental manner by stating observations not interpretations.
3. **Timely feedback, without delay**  
a. Give feedback as soon as possible or reasonable and when you are ready. Avoid giving feedback when you are emotionally charged up or when you do not have all your facts in order.

b. Putting off feedback until weeks later—or at the annual review period—will have far less impact on the receiver. Important news that arrives late becomes less important as time passes.

4. **Balancing Feedback**  
a. Give feedback when things go right as well as when things go wrong.

5. **Ongoing basis**  
a. Give feedback on an ongoing basis that reflects each person’s actual performance or behavior.

Constructive feedback is seen as two-way communication and can be provided by the supervisor to the employee and the employee to the supervisor or among colleagues. It is important that timing is right and that it is given with care, in a constructive manner and in private. Sometimes it is appropriate to give positive feedback when others are present. But one should take into account how comfortable a person would be receiving positive feedback in public and how others hearing the feedback might take it.

**DESC Script for Giving Negative Feedback**

**Focus on:** Amount of information recipient can use, rather than on amount you might have or feel you have to give. Again avoid giving feedback when you are emotionally charged.

1. **Describe the situation.** Be specific and objective. Make observations not inferences. Deal with present not past behavior.

2. **Express your own feelings.** Take responsibility for them. Focus on sharing this to assist recipient, rather than on “release” for you.

3. **Specify changes you want.** Be realistic. Ask, don’t demand. Specify, if appropriate, what behavior you are willing to change or provide to promote agreement... Check for understanding.

4. **Share Consequences.** Share your perception of possible outcomes. Reaffirm the other’s ability to make a positive change. End on a positive note.

<table>
<thead>
<tr>
<th>The Script</th>
<th>Example 1(^8)</th>
<th>Example 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Describe the situation.</td>
<td>&quot;When you borrow my supplies without asking me first.&quot;</td>
<td>When you don’t return my phone messages,</td>
</tr>
<tr>
<td>2. Express your own feelings. Use &quot;I&quot; statements.</td>
<td>I get upset because I order materials for the projects I have planned.</td>
<td>I feel irritated because it delays me on the project I am working on.</td>
</tr>
<tr>
<td>3. Specify changes you want.</td>
<td>What I would prefer is that you plan in advance and order the supplies you need.</td>
<td>What I would prefer is if you or one of your staff members would give me a phone call and let me know when you can get back to me with the information I need.</td>
</tr>
<tr>
<td>4. Share Consequences. Reaffirm.</td>
<td>That way you and I will both have what we need for the work we are doing.</td>
<td>This will help us both be effective.</td>
</tr>
</tbody>
</table>

The above are also examples of “I” statements. See next page for more information on “I” statements.
Giving Constructive Feedback—DESC Preparation Worksheet (available on HR web site)

<table>
<thead>
<tr>
<th>Script</th>
<th>Your Feedback</th>
</tr>
</thead>
<tbody>
<tr>
<td>Describe the situation.</td>
<td></td>
</tr>
<tr>
<td>Express your own feelings. Use “I” statements</td>
<td></td>
</tr>
<tr>
<td>Specify changes you want.</td>
<td></td>
</tr>
<tr>
<td>Share Consequences. Reaffirm.</td>
<td></td>
</tr>
</tbody>
</table>

Making “I” Statements out of “You” Statements

<table>
<thead>
<tr>
<th>“You” Statement</th>
<th>“I” Statement</th>
</tr>
</thead>
<tbody>
<tr>
<td>You fail to see what I mean.</td>
<td>I don’t think I conveyed to you the meaning I intended.</td>
</tr>
<tr>
<td>You misinterpreted my intention.</td>
<td>I think you have a different view of my intentions from what I meant them to be.</td>
</tr>
<tr>
<td>You are wrong in thinking that.</td>
<td>Let me explain my reasons for doing the job this way.</td>
</tr>
<tr>
<td>You didn’t do this right.</td>
<td>This wasn’t completed in the format I requested.</td>
</tr>
</tbody>
</table>

Other forms of “I” Statements:

- I was upset when you set up a meeting with me and then you didn’t come to the meeting, because I had rescheduled other appointments to meet with you.
- I really appreciate that you were able to design such a striking cover for our office booklet because it really helped students know where to find the information on our registration process.

When giving constructive negative feedback an “I” statement can decrease resistance and increase the possibilities of the receiver listening to us. The “you” blaming approach often builds resistance and may turn people off. As a result, the listener tunes us out and very little of our message is heard and understood.

When giving constructive positive feedback, an “I” statement helps others understand what they did that you value and appreciate.

“I” statements generally include:

- Non-blaming description of person’s behavior (When you…)
- Your feeling or emotion (I feel…)
- Tangible effects/impact on you now or in future (Because…)
Tips on Giving Feedback

1. Focus on behavior rather than person.
2. Focus on observations rather than inferences.
4. Be specific – here and now rather than general and abstract.
5. Take into account needs of both.
6. Time it appropriately.
7. “Own” your feelings/ problems/ responsibility.
8. Give in manageable amounts.
9. Use “I” statements – specific, how you feel, tangible effect.
10. Have verbal statements match non-verbal behavior.
11. Focus on “more or less” rather than “either / or.”
12. Ensure privacy.

What Affects How We Give and Hear Feedback

- Openness to it
- Vocabulary
- Body language
- Assumptions
- Interpretation
- Perception
- Biases
- Relationship expectations
- Emotions

Feedback providers and receivers need to be aware of and understand what affects how a message is said and heard.

Receiving Feedback

- Give your complete attention; really LISTEN to content and feeling.
- Ask questions to ensure understanding.
- Avoid being defensive. Keep your personal views from affecting your willingness to listen.
- Ask follow-up questions to ensure you receive “complete” feedback.
- Allow feedback provider to finish without interruption.
- Summarize information and ideas to ensure understanding.
- When feedback is very general, ask for specifics. For example, could you be more specific? Would you give me an example?
- Consider if others have provided similar feedback to you.
- View the feedback as a learning opportunity whether it is negative or positive. It can be an opportunity to improve or to consider doing more of what you are already doing.
LISTENING

Overview

Listening is an important part of communication and coaching, including giving and receiving feedback. It may seem simple, but it takes practice and patience and being actively involved in the process. A study by Dr. Ralph Nichol shows “that we devote 40% of our day to listening, yet his tests revealed that people listen at only 25 percent efficiency.”

Listening Skills

When Face to Face with the Speaker
- Clear your mind of other topics, concerns, and thoughts.
- Give the speaker your full attention.
- Make eye contact with the speaker.
- Assume the speaker will say something worth hearing.
- Pay attention to your body language; don’t show boredom, impatience, hostility, etc.
- Nod, smile, or otherwise indicate you’re following the speaker.

When on the Phone with the Speaker
- Picture the speaker in your mind.
- Give the conversation your full effort and attention.
- Jot down brief notes if needed to help you follow points.
- Say “mmm-hmm” or “oh,” or otherwise indicate you’re paying attention.

Whenever anyone is speaking
- Don’t interrupt.
- Try to determine the speaker’s key message.
- Don’t do or think about something else.
- Wait until the speaker has finished to form your response.
- Ask questions about anything that’s unclear.
- Restate key points to be sure you understand.
- Respond to the speaker’s feelings and attitudes as well as the message.

Active Listening

Model

When we talk (A), we usually are conveying both content (words) & feeling. When we are fully heard, the other person (B) usually lets us know that we have been heard by his/her body language and/or words & will respond to both the content & feeling of what we have said.

\[ \text{A} \quad \text{content & feeling} \quad \text{B} \]

\[ \text{A} \quad \text{B} \]
Key Points

- Give the speaker your full attention.
- Listen for content & feelings.
- Focus on speaker’s points vs. how you want to respond.
- Listen to words, tone & body language.
- Include eye contact, if possible.
- Feed back information for understanding.
- Ask for clarification as appropriate.

Listening Techniques

<table>
<thead>
<tr>
<th>Types</th>
<th>Purpose</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clarifying</td>
<td>To get additional facts</td>
<td>“Can you clarify this?”</td>
</tr>
<tr>
<td></td>
<td>To help him/her explore all sides of a problem</td>
<td>“Do you mean this...?”</td>
</tr>
<tr>
<td></td>
<td></td>
<td>“Is this the problem as you see it now!”</td>
</tr>
<tr>
<td>Restatement</td>
<td>To check meaning and interpretation</td>
<td>“As I understand it then, your plan is...”</td>
</tr>
<tr>
<td></td>
<td>To affirm that you are listening and that you understand</td>
<td>“This is what you have decided to do and the reasons are...”</td>
</tr>
<tr>
<td></td>
<td>To encourage him/her to analyze other aspects of the matter and discuss it</td>
<td></td>
</tr>
<tr>
<td>Neutral</td>
<td>To convey that you are interested and listening</td>
<td>“I see”</td>
</tr>
<tr>
<td></td>
<td></td>
<td>“Uh-huh”</td>
</tr>
<tr>
<td></td>
<td></td>
<td>“That’s very interesting”</td>
</tr>
<tr>
<td></td>
<td></td>
<td>“I understand”</td>
</tr>
<tr>
<td>Reflective</td>
<td>To show that you understand how person feels about what they’re saying</td>
<td>“You feel that...”</td>
</tr>
<tr>
<td></td>
<td>To help the person evaluate and temper their feelings</td>
<td>“It was a shocking thing as you saw it.”</td>
</tr>
<tr>
<td></td>
<td></td>
<td>“You felt you didn’t get a fair shake.”</td>
</tr>
<tr>
<td>Summarizing</td>
<td>To focus the discussion</td>
<td>“These are the key ideas you have expressed.”</td>
</tr>
<tr>
<td></td>
<td>To encourage further discussion on a new aspect or problem</td>
<td>“If I understand how you feel about the situation...”</td>
</tr>
</tbody>
</table>
CREATING A COMFORTABLE ENVIRONMENT for COACHING, FEEDBACK & REVIEWS

The environment for coaching, feedback and reviews should be supportive, accepting and comfortable. To help create a comfortable environment, it is important for the supervisor to:

- Prepare.
- Choose an appropriate time and place.
  - When and where each person can give full attention
  - Without interruptions
  - With privacy
- Establish Rapport.
- Clearly state purpose.
- Show support in verbal and non-verbal communication.
- Listen.
- Ask for feedback, suggestions, perspectives.
- Use open-ended questions.
- Rephrase and summarize as appropriate.
4. Sample Forms & Instructions

THE PAGES THAT FOLLOW INCLUDE:

Instructions for Performance Review (Supervisory and Non-Supervisory)

- Performance Review for Supervisors
- Performance Review for Staff (Non-Supervisory)

Instructions for Progress Review (Supervisory and Non-Supervisory)

- Progress Review for Supervisors
- Progress Review for Staff (Non-Supervisory)
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Instructions for Performance Reviews
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## Instructions

**Performance Review: Staff (Supervisory and Non-Supervisory)**

*(End of the Year and Introductory Reviews)*

### General
- Complete form online or copy form and then complete.
- Online: expand each section for additional space as appropriate.
- Offline: add additional pages if necessary.
- Complete page 1.
- Supervisor completes each section of the form after discussion with the employee.

### Responsibilities and/or Objectives - Section I
- Left hand column: record the agreed upon responsibilities, expectations or objectives for the employee for the coming year. (Generally done at the beginning of the performance cycle.)
- At the end of the review period, summarize in the Comments section the employee’s performance for each responsibility or objective.
- At the end of the review period, indicate the appropriate rating for each responsibility or objective. (See explanation of performance ratings below.)

### Performance Competencies - Section II
- At the end of the review period, summarize performance for each competency in the Comments section & then indicate rating for each competency.
- For supervisory staff complete general competencies and supervisory/management competencies; for non-supervisory staff complete general competencies.

### Overall Performance Summary - Section III

#### Comments and Rating
- Summarize the employee’s performance for the full review period.
- Indicate rating for the full review period.
- Attach a Plan for Improvement if “Needs Improvement” is deemed appropriate by the supervisor.

#### Professional Development Plan
- Include goals, actions and time frame. (See Toolkit for sample format.)

#### Responsibilities and Future Objectives
- Record key points and transfer to Section I of the review form for the next review period.

#### Employee Comments
- The employee completes this section.

#### Signatures and Review
- Initial or sign on each page as indicated.
- Review with next level supervisor & obtain signature on last page.
- Make copies for the employee and supervisor.
- Send original to Human Resources.

### Performance Ratings

**Exceeds Expectations** - Consistently surpasses all expectations and goals. Use this rating sparingly to avoid diluting the value of the “Meets Expectations” rating.

**Meets Expectations** - Fully and consistently achieves expectations and goals. This rating is the standard and is commendable. Most employees’ performance will fall into this category.

**Needs Improvement** - Needs improvement to fully achieve expectations/goals. This rating is for those aspects of performance that require some additional training and development or for performance that is not consistent.

**Unacceptable** - Fails to meet job expectations. This is used when performance continually fails to meet acceptable standards.

*See Performance Management Toolkit for more detailed information and examples.*
Performance Review for Supervisors
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Saint Mary’s College of California is a Catholic, Lasallian and Liberal Arts College known widely for providing an excellent learning environment for students. It is a community of learners—students, faculty and staff—who support the organization’s mission:

- To probe deeply the mystery of existence by cultivating the ways of knowing and the arts of thinking.
- To affirm and foster the Christian understanding of the human person which animates the education mission of the Catholic Church.
- To create a student-centered educational community whose members support one another with mutual understanding and respect.

The effective performance of each individual is necessary to achieve the College’s mission. The College expects all its employees to exemplify its values through committed leadership, ongoing learning, and concern for human relationships.

<table>
<thead>
<tr>
<th>Employee:</th>
<th>Supervisor:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee Job Title:</td>
<td>Job Grade:</td>
</tr>
<tr>
<td>Department:</td>
<td></td>
</tr>
</tbody>
</table>

Objectives, Development & Performance Period:

From:                      To:

- Introductory Review
- End of Year Review

Date:
### SECTION I

**RESPONSIBILITIES &/OR OBJECTIVES**

<table>
<thead>
<tr>
<th>Comments</th>
<th>Exceeds Expectations</th>
<th>Meets Expectations</th>
<th>Needs Improvement</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>EE</td>
<td>EE</td>
<td>EE</td>
<td>EE</td>
<td>EE</td>
</tr>
</tbody>
</table>

**Primary Performance Expectations:** Responsibilities &/or Objectives

<table>
<thead>
<tr>
<th>Comments</th>
<th>Exceeds Expectations</th>
<th>Meets Expectations</th>
<th>Needs Improvement</th>
<th>Unacceptable</th>
</tr>
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<tbody>
<tr>
<td>EE</td>
<td>EE</td>
<td>EE</td>
<td>EE</td>
<td>EE</td>
</tr>
</tbody>
</table>

**Performance Ratings**

- Supervisor Initials: ____________________________
- Date: ____________________________
- Employee Initials: ____________________________
- Date: ____________________________
### General Competencies

#### Mission & Values
- Perform day-to-day activities & job responsibilities in ways that support & enhance the College’s mission & its Catholic, Lasallian & Liberal Arts traditions, e.g., service to community, dedication, taking ownership for success of SMC, exemplifying behavior that is a model for others, & adhering to College policies

#### Service
- Demonstrate commitment to providing everyone with highest level of service: Provide friendly, caring service; exhibit patience & respect; follow up & follow through; respond sincerely, promptly, consistently & appropriately to everyone every time; and establish & maintain effective relationships with those we serve & gain their trust & respect

#### Teamwork
- Maintain harmonious & effective work relationships with co-workers & others; and collaborate with departments, campus community, & external sources, as appropriate, to promote cooperative work relationships, improve work processes, & achieve goals and objectives

#### Communication
- Effectively convey information & ideas both orally & in writing; listen carefully & seek clarification to ensure understanding; promote an open environment where diverse perspectives are respected, developed, & valued; and maintain appropriate confidentiality

#### Resourcefulness
- Consistently initiate ideas & actions that impact our success: Proactively take or recommend appropriate actions, solutions or improvement when the situation demands it; persevere when encountering challenges & obstacles; and adjust to effectively accommodate multiple demands & shifting priorities

#### Quality & Quantity of Work
- Demonstrate knowledge, technical expertise, & problem solving skills necessary to perform job effectively; make quality decisions based on sound judgment; complete assignments in a thorough, accurate & timely manner that achieves expected outcomes; preserve College finances & maintain & care for College property; and meet College &/or department attendance standards

### Performance Ratings

<table>
<thead>
<tr>
<th>Performance Ratings</th>
<th>Exceeds Expectations</th>
<th>Meets Expectations</th>
<th>Needs Improvement</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Supervisor Initials</td>
<td>Date</td>
<td>Employee Initials</td>
<td>Date</td>
<td></td>
</tr>
</tbody>
</table>
### Supervisory & Management Competencies

<table>
<thead>
<tr>
<th>Competency</th>
<th>Comments</th>
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</thead>
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<tr>
<td><strong>Managing and Developing Staff</strong></td>
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<td><strong>Leadership</strong></td>
<td>Create a supportive staff environment, which fosters individual motivation, high levels of individual and team performance, &amp; quality of service: Seek performance feedback &amp; incorporate into department objectives; develop &amp; communicate clear objectives that support department &amp; College mission &amp; goals; build a workforce that recognizes &amp; values the positive influences of diverse cultures, viewpoints, styles &amp; other aspects of individual differences; set a tone of integrity &amp; ethics; encourage &amp; facilitate cooperation, pride, &amp; trust; empower &amp; inspire staff by sharing information, knowledge, skills, &amp; authority; think &amp; plan strategically; and lead by example</td>
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<td><strong>Resource Management</strong></td>
<td>Develop plans &amp; organize resources (technology, equipment, budget, space, &amp; staff) for implementation of projects &amp; programs: Utilize existing &amp; new resources effectively &amp; efficiently; plan, administer, &amp; monitor budget to ensure cost effectiveness; and accommodate multiple demands for commitment of time, energy &amp; resources</td>
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<td><strong>Decision Making and Judgment</strong></td>
<td>Analyze facts and data, use sound judgment, &amp; seek input &amp; assistance from others to arrive at most effective solutions; make decisions in a timely manner, even under uncertain conditions, considering both the immediate and long-term consequences; follow up to ensure problems are resolved; and maintain appropriate confidentiality</td>
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<td><strong>Managing Change</strong></td>
<td>Initiate actions that foster acceptance of organizational change: Communicate in ways that help employees understand the change; involve employees in the decisions that impact them; and establish structures, practices &amp; feedback to support successful implementation of the change</td>
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</table>
### SECTION III  
**OVERALL PERFORMANCE SUMMARY**

**Comments:** *(Based on a review of Sections I and II)*

- [ ] **Exceeds Expectations** *(Performance consistently surpasses all expectations and goals)*
- [ ] **Meets Expectations** *(Performance fully and consistently achieves expectations and goals)*
- [ ] **Needs Improvement** *(Performance needs improvement to fully achieve expectations and goals)*
- [ ] **Unacceptable** *(Performance fails to meet job expectations)*

**Plan for Improvement**

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
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<tbody>
<tr>
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</table>

**Professional Development Plan:**

**Responsibilities and Future Objectives** *(Complete the responsibilities &/or objectives in Section I for next review period.)*

**Employee Comments** *(Include feedback to the supervisor on ways in which supervisor can assist you in meeting responsibilities &/or objectives & enhancing performance competencies):*

---

**Supervisor Signature** ____________________________ **Employee Signature** ____________________________  
**Date** __________ **Date** __________

**Signature of Next Level Supervisor** ____________________________  
**Date** __________

---

Section III   2/04
Performance Review for Staff (Non-Supervisory)
Saint Mary’s College of California is a Catholic, Lasallian and Liberal Arts College known widely for providing an excellent learning environment for students. It is a community of learners—students, faculty and staff—who support the organization’s mission:

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- To affirm and foster the Christian understanding of the human person which animates the education mission of the Catholic Church.
- To create a student-centered educational community whose members support one another with mutual understanding and respect.

The effective performance of each individual is necessary to achieve the College’s mission. The College expects all its employees to exemplify its values through committed leadership, ongoing learning, and concern for human relationships.

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<th>Employee:</th>
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</tr>
</thead>
<tbody>
<tr>
<td>Employee Job Title:</td>
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<td>Department:</td>
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</tr>
<tr>
<td>Objectives, Development &amp; Performance Period:</td>
<td></td>
</tr>
<tr>
<td>From:</td>
<td>Through:</td>
</tr>
<tr>
<td>☐ Introductory Review</td>
<td></td>
</tr>
<tr>
<td>☐ End of Year Review</td>
<td></td>
</tr>
<tr>
<td>Date:</td>
<td></td>
</tr>
</tbody>
</table>
## SECTION I

### RESPONSIBILITIES &/OR OBJECTIVES

<table>
<thead>
<tr>
<th>Primary Performance Expectations: Responsibilities &amp;/or Objectives</th>
<th>Comments</th>
<th>Performance Ratings</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Exceeds Expectations</td>
</tr>
<tr>
<td></td>
<td>EE</td>
<td>ME</td>
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<tr>
<td></td>
<td>EE</td>
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<td></td>
<td>EE</td>
<td>ME</td>
</tr>
</tbody>
</table>

---

**Supervisor Initials** ___________________________ **Date** ____________

**Employee Initials** ___________________________ **Date** ____________

Section I 2/04
### General Competencies

| Mission & Values - Perform day-to-day activities & job responsibilities in ways that support & enhance the College's mission & its Catholic, Lasallian & Liberal Arts traditions, e.g., service to community, dedication, taking ownership for success of SMC, exemplifying behavior that is a model for others, & adhering to College policies |
| Service - Demonstrate commitment to providing everyone with highest level of service: Provide friendly, caring service; exhibit patience & respect; follow up & follow through; respond sincerely, promptly, consistently & appropriately to everyone every time; and establish & maintain effective relationships with those we serve & gain their trust & respect |
| Teamwork - Maintain harmonious & effective work relationships with co-workers & others; and collaborate with departments, campus community, & external sources, as appropriate, to promote cooperative work relationships, improve work processes, & achieve goals and objectives |
| Communication - Effectively convey information & ideas both orally & in writing; listen carefully & seek clarification to ensure understanding; promote an open environment where diverse perspectives are respected, developed, & valued; and maintain appropriate confidentiality |
| Resourcefulness - Consistently initiate ideas & actions that impact our success: Proactively take or recommend appropriate actions, solutions or improvement when the situation demands it; persevere when encountering challenges & obstacles; and adjust to effectively accommodate multiple demands & shifting priorities |
| Quality & Quantity of Work - Demonstrate knowledge, technical expertise, & problem solving skills necessary to perform job effectively; make quality decisions based on sound judgment; complete assignments in a thorough, accurate & timely manner that achieves expected outcomes; preserve College finances & maintain & care for College property; and meet College &/or department attendance standards |

<table>
<thead>
<tr>
<th>Exceeds Expectations</th>
<th>Meets Expectations</th>
<th>Needs Improvement</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>EE</td>
<td>ME</td>
<td>NI</td>
<td>U</td>
</tr>
<tr>
<td>EE</td>
<td>ME</td>
<td>NI</td>
<td>U</td>
</tr>
<tr>
<td>EE</td>
<td>ME</td>
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<td>U</td>
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<tr>
<td>EE</td>
<td>ME</td>
<td>NI</td>
<td>U</td>
</tr>
<tr>
<td>EE</td>
<td>ME</td>
<td>NI</td>
<td>U</td>
</tr>
</tbody>
</table>

**Performance Ratings**

- Exceeds Expectations (EE)
- Meets Expectations (ME)
- Needs Improvement (NI)
- Unacceptable (U)

---

**Supervisor Initials**      **Date**  **Employee Initials**      **Date**
### SECTION III

#### OVERALL PERFORMANCE SUMMARY

**Comments:** (Based on a review of Sections I and II)

<table>
<thead>
<tr>
<th>□ Exceeds Expectations (Performance consistently surpasses all expectations and goals)</th>
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<tbody>
<tr>
<td>□ Meets Expectations (Performance fully and consistently achieves expectations and goals)</td>
<td>□ Unacceptable (Performance fails to meet job expectations)</td>
<td>Yes □ No □</td>
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</table>

**Professional Development Plan:**

**Responsibilities and Future Objectives** (Complete the responsibilities &/or objectives in Section I for next review period.)

**Employee Comments** (Include feedback to the supervisor on ways in which supervisor can assist you in meeting responsibilities &/or objectives & enhancing performance competencies):

**Supervisor Signature** ___________________________ **Date** ___________________________ **Employee Signature** ___________________________ **Date** ___________________________

**Signature of Next Level Supervisor** ___________________________ **Date** ___________________________
Instructions for Progress Reviews
This page intentionally left blank
**Instructions**

**Progress Review Staff (Supervisory and Non-Supervisory)**

(Mid Year)

**General**
- Complete form online or copy form and then complete.
- Online: expand each section for additional space as appropriate.
- Offline: add additional pages if necessary.
- Complete page 1.
- Supervisor completes each section of the form after discussion with the employee.
- The Progress Review is generally completed in mid year (December-January).

**Responsibilities and/or Objectives - Section I**
- Review responsibilities, expectations or objectives that were agreed upon at the beginning of the performance cycle.
- Discuss employee's performance on these responsibilities or objectives.
- Summarize in the Comments section the employee's performance for each responsibility or objective.
- Change or adjust objectives, responsibilities or expectations as appropriate.

**Performance Competencies - Section II**
- Review & discuss employee's performance on each competency.
- Summarize performance for each competency in the Comments section.
- For supervisory staff, review general competencies and supervisory/management competencies; for non-supervisory staff, review general competencies.

**Signatures**
- On each page provide appropriate signatures. Make copy for employee.
- Keep Progress Review in the department. Generally Progress Reviews are NOT forwarded to Human Resources.

*See Performance Management Toolkit for more detailed information and examples.
Progress Review for Supervisors
This page intentionally left blank
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<td>Objectives, Development &amp; Performance Period:</td>
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</tr>
<tr>
<td>From:</td>
<td>Through:</td>
</tr>
<tr>
<td>□ Mid-Year Review</td>
<td></td>
</tr>
<tr>
<td>□ Other</td>
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</tr>
<tr>
<td>Date:</td>
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</table>
**SECTION I**

**RESPONSIBILITIES &/OR OBJECTIVES**

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</table>

Supervisor Signature ___________________________  Date ____________  Employee Signature ___________________________  Date ____________
### GENERAL COMPETENCIES

<table>
<thead>
<tr>
<th><strong>Mission &amp; Values</strong></th>
<th><strong>Comments</strong></th>
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</thead>
<tbody>
<tr>
<td>Perform day-to-day activities &amp; job responsibilities in ways that support &amp; enhance the College’s mission &amp; its Catholic, Lasallian &amp; Liberal Arts traditions, e.g., service to community, dedication, taking ownership for success of SMC, exemplifying behavior that is a model for others, &amp; adhering to College policies</td>
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<tr>
<th><strong>Service</strong></th>
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<tr>
<td>Demonstrate commitment to providing everyone with highest level of service: Provide friendly, caring service; exhibit patience &amp; respect; follow up &amp; follow through; respond sincerely, promptly, consistently &amp; appropriately to everyone every time; and establish &amp; maintain effective relationships with those we serve &amp; gain their trust &amp; respect</td>
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<th><strong>Teamwork</strong></th>
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<tr>
<td>Maintain harmonious &amp; effective work relationships with co-workers &amp; others; and collaborate with departments, campus community, &amp; external sources, as appropriate, to promote cooperative work relationships, improve work processes, &amp; achieve goals and objectives</td>
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<tr>
<th><strong>Communication</strong></th>
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<td>Effectively convey information &amp; ideas both orally &amp; in writing; listen carefully &amp; seek clarification to ensure understanding; promote an open environment where diverse perspectives are respected, developed, &amp; valued; and maintain appropriate confidentiality</td>
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<th><strong>Quality &amp; Quantity of Work</strong></th>
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</table>
## SECTION II  PERFORMANCE COMPETENCIES

(This section is always included on Performance Reviews for those who supervise staff, but occasionally may be used for others such as project managers or supervisors of students.)

<table>
<thead>
<tr>
<th>Supervisory &amp; Management Competencies</th>
<th>Progress Review</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Managing and Developing Staff</strong> - Recruit &amp; hire appropriate staff; provide employees clear expectations regarding organization’s values &amp; desired results; give clear &amp; honest performance feedback; communicate in ways that invite two-way dialogue; coach &amp; develop staff &amp; provide opportunity for training &amp; growth; recognize staff for efforts &amp; achievement &amp; ensure staff are treated with respect &amp; in a fair &amp; equitable manner; and constructively address performance problems.</td>
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**Supervisor Signature**  
**Date**

**Employee Signature**  
**Date**
Progress Review for Staff (Non-Supervisory)
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Supervisor Signature  
Date

Employee Signature  
Date
### SECTION II

#### PERFORMANCE COMPETENCIES

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<td><strong>Mission &amp; Values</strong> - Perform day-to-day activities &amp; job responsibilities in</td>
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<td>ways that support &amp; enhance the College’s mission &amp; its Catholic, Lasallian &amp;</td>
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<td>Liberal Arts traditions, e.g., service to community, dedication, taking ownership</td>
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<td>for success of SMC, exemplifying behavior that is a model for others, &amp;</td>
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<td>adhering to College policies</td>
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<td>&amp; problem solving skills necessary to perform job effectively; make quality</td>
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<tr>
<td>decisions based on sound judgment; complete assignments in a thorough,</td>
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<td>accurate &amp; timely manner that achieves expected outcomes; preserve College</td>
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<tr>
<td>finances &amp; maintain &amp; care for College property; and meet College &amp;/or</td>
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</tr>
<tr>
<td>department attendance standards</td>
<td></td>
</tr>
</tbody>
</table>

Supervisor Signature       Date   Employee Signature      Date
5. Performance Planning

OVERVIEW & STEPS

The supervisor and employee meet to set performance expectations at the beginning of each performance review period. This is generally between May, when the review for the previous performance period is completed, and July, when the next performance period technically begins. Because of the academic schedule and the functioning of some schools and departments, the performance planning part may begin in August or September.

During this time the supervisor and the employee complete the first five steps of the Performance Management Process as outlined below:

<table>
<thead>
<tr>
<th>Part of the Process</th>
<th>Steps</th>
<th>Supervisor</th>
<th>Employee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning &amp; Goal Setting (usually at start of perf. period)</td>
<td>1. Supervisor prepares for performance planning.</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td></td>
<td>2. Supervisor reviews College mission &amp; goals and develops department goals with staff or shares already developed department goals with staff.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>3. Employee drafts performance objectives/standards or job responsibilities and discusses them with supervisor.</td>
<td></td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>4. Supervisor shares performance expectations with employee. Supervisor and employee agree on objectives/standards/ responsibilities and record these in Section I of the End of Year Performance Review. They also agree on the importance of each objective or job responsibility and record it by numbered order or percentage of the job.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td></td>
<td>5. Supervisor and employee review the competencies and agree on behaviors &amp; actions that support these competencies. They also agree on the importance of each competency in relation to each other and the job.</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

FOUR KEY JOB DIMENSIONS

Effective performance depends, in large part, on the level of understanding and agreement between the supervisor and the employee about four key dimensions of the employee’s job:

- WHY does this job exist?

Jobs are created for a reason. The supervisor and the employee should understand the overall purpose of the job, what it is intended to accomplish, and how the work contributes to the department and College’s mission and goals.
• **WHAT are the duties and responsibilities?**

These are the specific tasks to be performed by the employee. Some may be ongoing while others may be for defined periods of time, such as projects. A job description is typically used to describe these duties and responsibilities.

• **HOW is it to be performed?**

Performance expectations should be clearly articulated for each significant duty and responsibility. Employees need clarity about how the supervisor expects the duties and responsibilities of the job to be carried out. The employee and supervisor discuss and agree upon the standards and/or objectives that define the job responsibilities.

• **HOW WELL is it being performed?**

This is the dimension that involves evaluation by the supervisor and the employee. A credible evaluation and review depends on performance measures, both quantitative and qualitative. These are usually included in the standards and objectives agreed upon by the supervisor and employee in the performance planning process. The supervisor and employee often reassess and modify these standards and objectives as the year goes on.

**ORIENTING A NEW EMPLOYEE**

When an employee is new to the job, the manager should orient the new employee to the College, department and job. As part of this process the supervisor should clarify job responsibilities and performance expectations with the employee and begin the performance planning process. This should occur within the first week of the employee’s arrival and may continue for a period of time. Therefore, follow the steps of Performance Planning with the new employee - no matter what time of year the employee begins his/her job. See the Supervisor’s Checklist for Orienting New Employees in the Appendix for additional information. At the end of the first three months of the new employee’s employment, the supervisor completes an Introductory Review (See Performance Review) on the employee’s performance.

**WRITING S.M.A.R.T. OBJECTIVES**

**Definition of Terms:**

• For our purposes we are using the term **objectives** to refer to measurable and desired results/accomplishments/achievements of individual or team performance:
  ✓ A performance effort to be accomplished that is to produce meaningful results.
  ✓ An objective answers the questions: What is the result being sought? What is important to accomplish?

• Sometimes some performance focuses on **standards** instead of objectives. These are similar to objectives but focus more on day-to-day performance.
  ✓ A standard is an expectation of behavior or level of performance that is to be achieved or maintained for positive results.

**S.M.A.R.T. Objectives/Standards**

• Specific and clear—well defined
• Measurable—Quantity, time, quality, cost
• Action-oriented (& agreed upon)—use action verbs
• Results-focused and Realistic
• Time-focused
Format for SMART Objectives

- Action verb + desired outcome + measurable quantity or quality + time frame

Sample Objectives

- Broader Goal or Responsibility – Develop staff to assume greater responsibilities on assignments
  - Objective – Develop J. Smith to assume project management responsibilities (leading, facilitating team, implementing and monitoring) on New Student Orientation by 4/1/05
- Broader Goal – Increase revenues 20% from athletic events
  - Objective – Increase revenues of Fall 2004 athletic events by 20% over year 2003

Sample Standards

- Answer phone by the 3rd ring welcoming caller with SMC, department name, your name and “How can I help you?”
- File all incoming files into correct master files within one day of delivery

Examples of Action Verbs

- Administer
- Advise
- Analyze
- Audit
- Compile
- Deliver
- Accomplish
- Compose
- Evaluate
- Interview
- Organize
- Distribute
- Establish
- Execute
- Implement
- Maintain
- Obtain
- Audit
- Create
- Identify
- Launch
- Produce
- Plan
- Provide
- Report
- Research
- Review
- Solicit
- Complete
- Design
- Increase
- Monitor
- Write
SAMPLE OBJECTIVES ON PERFORMANCE REVIEW FORM

<table>
<thead>
<tr>
<th>Primary Performance Expectations: Responsibilities and/or Objectives</th>
<th>Comment</th>
<th>Rating Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Human Resource Example) Develop a New Employee Orientation process by December 2004, for implementation in January 2005. Use a collaborative process to gain buy in from key stakeholders (new employees, supervisors, Staff Council).</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Special Projects Example) Deliver all projects on time (as scheduled). Late projects include documentation of a list of issues that are “outside the control” of the employee.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Athletics Example) Increase revenues from spring 2005 events by 10% over spring events of 2004.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Finance Example) Complete budget planning process by February 2005. Budget should be accurate, in line with projected revenues, and accepted by all team members</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Five key elements to setting effective objectives or standards:

- Written down
- Stated in positive language – what you desire or plan to achieve rather than what you want to avoid
- Under your control – reasonable but a stretch
- Measurable in some way (you can count it, weigh it, see it, etc.). Key question: Will you know it when you achieve it?
- Written as if it has already happened or is happening

Questions to Use for Developing Objectives with the Employee

- What are employee’s job responsibilities?
- Which key objectives should employee focus on?
- What resources or assistance does employee need to achieve these objectives?
- What are possible obstacles to achieving the goals? What can be done to overcome obstacles?
- What behaviors are critical to achieving the objectives? (Often these behaviors are elements of competencies.)
- What links employee’s performance objectives to school/department’s goals?
- Are the performance expectations clear to both the supervisor and the employee?
Showing Importance of Objectives

Some objectives may be more important or take up a greater percentage of one’s time than others. You can show this in one of two ways (or both) on the Performance Review form:

1. numbering the objectives on the form with #1 being most important
2. weighting each objective in terms of percentage of time devoted to this objective with the total for all objectives being 100%

For example:

<table>
<thead>
<tr>
<th>Primary Performance Expectations: Responsibilities and/or Objectives</th>
<th>Comment</th>
<th>Rating Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Recruit, coach, and develop staff throughout year and provide opportunities for training and growth as evidenced by development plans, delegation of specific job assignments and performance reviews (40%)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2. Develop and implement 5-year strategic plan for Facilities Department to include… by April 2005 (20%)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3. Actively participate in following campus committees: Planning Committee, Budget Committee, Athletics Committee by sharing priorities for Facilities, collaborating with departments and problem solving mutual and competing needs. (20%)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4. Operate within budget guidelines and monitor quarterly so that budget is balanced and within target by year end (10%)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5. Develop and implement plan for 24/7 coverage of maintenance for the campus by 10/1/04 and monitor effectiveness on 6-month basis (10%)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Performance Objectives Planning Worksheet (available on HR web site)

<table>
<thead>
<tr>
<th>Responsibility</th>
<th>Objective or Standard (includes performance expectations and measures)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
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</tr>
</tbody>
</table>
PERFORMANCE COMPETENCIES

Overview

Competencies are defined as knowledge, skills, and behaviors (usually grouped in a common cluster) that help a person perform at a high level and are critical for achieving an organization’s mission, values and goals.

In SMC’s Performance Management process, there are six performance competencies for all staff (including supervisors) and five performance competencies for supervisors/managers—all in line with SMC’s mission, values, and goals.

One’s job responsibilities may emphasize some parts of a competency or some competencies more than others. An employee and his/her supervisor identify the factors in each competency that are most important and relevant to the success of the employee in his/her current role and in carrying out his/her responsibilities. If some are more important than others these can be noted in the descriptions or comments areas. They also can be numbered and/or weighted as stated in the section on writing objectives.

The following two pages list and describe the General Competencies and the Supervisory and Management Competencies. See example of Ratings segment, Section 7 (Performance Review) in Toolkit for charts describing sample behaviors for each competency at each rating level.
General Competencies

1. **Mission and Values**
   Perform day-to-day activities and job responsibilities in ways that support and enhance the College’s mission and its Catholic, Lasallian and Liberal Arts traditions, for example:
   - Service to community
   - Dedication
   - Taking ownership for success of Saint Mary’s College
   - Exemplifying behavior that is a model for others
   - Adhering to College policies

2. **Service**
   Demonstrate commitment to providing everyone with highest level of service:
   - Provide friendly, caring service; exhibit patience and respect; follow up and follow through
   - Respond sincerely, promptly, consistently and appropriately to everyone every time
   - Establish and maintain effective relationships with those we serve, and gain their trust and respect

3. **Teamwork**
   - Maintain harmonious and effective work relationships with co-workers and others
   - Collaborate with departments, campus community, and external sources, as appropriate, to promote cooperative work relationships, improve work processes, and achieve goals and objectives

4. **Communication**
   - Effectively convey information and ideas both orally and in writing
   - Listen carefully and seek clarification to ensure understanding
   - Promote an open environment where diverse perspectives are respected, developed, and valued
   - Maintain appropriate confidentiality

5. **Resourcefulness**
   Consistently initiate ideas and actions that impact our success:
   - Proactively take or recommend appropriate actions, solutions or improvement when the situation demands it
   - Persevere when encountering challenges and obstacles
   - Adjust to effectively accommodate multiple demands and shifting priorities

6. **Quality and Quantity of Work**
   - Demonstrate knowledge, technical expertise, and problem solving skills necessary to perform job effectively
   - Make quality decisions based on sound judgment
   - Complete assignments in a thorough, accurate and timely manner that achieves expected outcomes
   - Preserve College finances and maintain and care for College property
   - Meet College and/or department attendance standards
Supervisory and Management Competencies

1. Managing and Developing Staff
   - Recruit and hire appropriate staff
   - Provide employees clear expectations regarding organization’s values and desired results
   - Give clear and honest performance feedback
   - Communicate in ways that invite two-way dialogue
   - Coach and develop staff and provide opportunity for training and growth
   - Recognize staff for efforts and achievement and ensure staff are treated with respect and in a fair and equitable manner
   - Constructively address performance problems

2. Leadership
   Create a supportive staff environment, which fosters individual motivation, high levels of individual and team performance, and quality of service:
   - Seek performance feedback and incorporate into department objectives
   - Develop and communicate clear objectives that support department and College mission and goals
   - Build a workforce that recognizes and values the positive influences of diverse cultures, viewpoints, styles, and other aspects of individual differences
   - Set a tone of integrity and ethics
   - Encourage and facilitate cooperation, pride, and trust
   - Empower and inspire staff by sharing information, knowledge, skills, and authority
   - Think and plan strategically
   - Lead by example

3. Resource Management
   Develop plans and organize resources (technology, equipment, budget, space and staff) for implementation of projects and programs:
   - Utilize existing and new resources effectively and efficiently
   - Plan, administer, and monitor budget to ensure cost effectiveness
   - Accommodate multiple demands for commitment of time, energy and resources

4. Decision Making and Judgment
   - Analyze facts and data, use sound judgment, and seek input and assistance from others to arrive at most effective solutions
   - Make decisions in a timely manner, even under uncertain conditions, considering both the immediate and long-term consequences
   - Follow up to ensure problems are resolved
   - Maintain appropriate confidentiality

5. Managing Change
   Initiate actions that foster acceptance of organizational change:
   - Communicate in ways that help employees understand the change
   - Involve employees in the decisions that impact them
   - Establish structures, practices and feedback to support successful implementation of the change
6. Progress Review

OVERVIEW

The Progress Review usually occurs mid year in December or January. It is a time for a discussion between the employee and the supervisor on the employee’s performance and progress so far, and to reassess performance expectations. It is a time to see if there have been things beyond the employee’s control that are impeding performance and if particular support or resources are needed. The expectation is that the employee and supervisor have had ongoing feedback and communication up to this point. The mid year review formalizes this process.

The Progress Review can be held at other times of the year, for example, quarterly. This is up to the department, supervisor and situation. Progress Reviews are written and kept in the department. Both the supervisor and employee receive a copy. After the Progress Review, the supervisor and employee should continue ongoing coaching and mutual feedback as appropriate.

KEY STEPS

<table>
<thead>
<tr>
<th>Coaching, Mutual Feedback (ongoing)</th>
<th>6. Supervisor provides employee ongoing, regular performance coaching and feedback; employee receives coaching &amp; feedback and gives feedback to supervisor.</th>
<th>X</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Mid-Year Progress Review</strong> (usually Dec.-Jan.- can be more frequent)</td>
<td>7. Supervisor &amp; employee meet to discuss performance and reassess performance expectations &amp; progress. This is a two-way conversation with feedback between supervisor &amp; employee.</td>
<td>X</td>
<td>X</td>
</tr>
<tr>
<td>8. As result of this meeting supervisor completes comments sections on Progress Review and makes appropriate changes to job responsibilities/objectives; supervisor &amp; employee sign &amp; each receives a copy.</td>
<td>X</td>
<td>X</td>
<td></td>
</tr>
<tr>
<td>Coaching, Mutual Feedback (ongoing)</td>
<td>9. Supervisor provides employee ongoing, regular performance coaching and feedback; employee receives coaching &amp; feedback and gives feedback to supervisor.</td>
<td>X</td>
<td>X</td>
</tr>
</tbody>
</table>

GENERAL INSTRUCTIONS for COMPLETION of Progress Review Form (Section 4 of the Toolkit includes instructions for the completion of the Progress Review.)

Supervisor completes each section of the form after discussion with the employee.

**Section I – Responsibilities &/or Objectives**

- Review responsibilities, expectations or objectives that were agreed upon at the beginning of the performance cycle.
- Discuss employee’s performance on these responsibilities or objectives.
- Summarize in the Comments section the employee’s performance for each responsibility or objective
- Change or adjust objectives, responsibilities or expectations as appropriate.

**Section II – Performance Competencies**

- Review & discuss employee’s performance on each competency.
- Summarize performance for each competency in the Comments section
- For supervisory staff, review general competencies and supervisory/management competencies; for non-supervisory staff, review general competencies
SAMPLE PROGRESS REVIEW

SECTION I  RESPONSIBILITIES &/OR OBJECTIVES

<table>
<thead>
<tr>
<th>Primary Performance Expectations: Responsibilities &amp;/or Objectives</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Human Resource Example) Develop a New Employee Orientation process by April 2005, for implementation in May 2005. Use a collaborative process to gain buy in from key stakeholders (new employees, supervisors, Staff Council).</td>
<td>Sally has formed a task group representing members of key stakeholders. Under her guidance they have made recommendations for the key components of the program. She is meeting her timelines and criteria that we developed earlier. She will need the VP’s support in presenting the overview to the Cabinet.</td>
</tr>
<tr>
<td>(Special Projects Example) Deliver all projects on time (as scheduled). Late projects include documentation of a list of issues that are “outside the control” of the employee.</td>
<td>Jim is two weeks behind on project ABC. This has been due to several unplanned absences. He is working on a plan for catching up on time missed; he will finalize and discuss plan by 4/04/04.</td>
</tr>
<tr>
<td>(Athletics Example) Increase revenues from spring 2005 events by 10% over spring events of 2004.</td>
<td>Marsha has enlisted alumni support in sponsoring 3 new events for the spring in addition to the usual 5 events. She has targeted revenue that will reflect a 15% increase over last spring. She will be enlisting the assistance of two interns to help her with the project.</td>
</tr>
<tr>
<td>(Finance Example) Complete budget planning process by February 2005. Budget should be accurate, in line with projected revenues, and accepted by all team members.</td>
<td>Joe has been facilitating the team in the budget planning process since October. Two of the team members who are critical to the decision making process have had sporadic attendance at the meetings. He and I are planning an approach to work with these two team members so that they are fully involved.</td>
</tr>
</tbody>
</table>

SECTION II  PERFORMANCE COMPETENCIES

<table>
<thead>
<tr>
<th>General Competencies</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission &amp; Values</td>
<td>Marty continues to represent her colleagues on the Staff Council and participates regularly in LaSallian sponsored events such as the Soup &amp; Substance discussions. She sets a good example for others in the department.</td>
</tr>
<tr>
<td>Service</td>
<td>Since her last review Marty took the workshop on Building a Service Culture. She is using some of the problem solving skills as she works with other Campus departments to meet their needs on our services. Several students have complained that Marty has not gotten back to them on their questions. She has identified steps, which she plans to follow, to improve her responsiveness in answering student questions.</td>
</tr>
<tr>
<td>Teamwork</td>
<td>She has shared some of the tools learned in the Service class with other staff members. As a result the staff is instituting a suggestion system on improving our services to students. Marty is facilitating this process.</td>
</tr>
<tr>
<td>Communication</td>
<td>Marty is representing our department on a College committee and will be making presentations to student groups. At her request, I will coach her on her presentation skills.</td>
</tr>
<tr>
<td><strong>Resourcefulness</strong></td>
<td>Due to budget constraints we will not be able to fund a half-time administrative assistant position. I have asked Marty to work with me to come up with creative ways to provide the services that this position has previously provided. This will be a stretch and challenge for Marty in the coming months.</td>
</tr>
<tr>
<td>-----------------------------------------</td>
<td>------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td><strong>Quality &amp; Quantity of Work</strong></td>
<td>Marty is professional in all that she does and has a thorough knowledge of all aspects of her job. She is the historian in our department on past and present practices and takes on many projects. I’ve asked Marty to train one of the administrative assistants in the processes for monitoring our budget so that Marty can focus on long term department projects.</td>
</tr>
</tbody>
</table>
7. Performance Review

OVERVIEW

End of Year Review

The Performance Review occurs at the end of the performance period—usually May and/or June. It covers the employee’s performance since the Performance Review of the previous year. Technically the performance review period is from July 1st to June 30th. During May or June the supervisor and employee conduct the review and complete the Performance Review form. Then the supervisor shares the review with the next-level supervisor. The completed and signed review is sent to the Human Resources Office and is filed in the employee’s personnel file.

Introductory Review

A Performance Review can also be used at the end of the Introductory Period for new employees and employees transferring to new positions. The Introductory Review is generally conducted 90 days after the employee is in the position. Adjust time frames and instructions given below to fit this review period. See Staff Handbook on New Employees, Introductory Period.

KEY STEPS

| 11. Supervisor gets feedback on employee’s performance from employee’s clients and schedules and prepares for performance review with employee. | X |
| 12. Supervisor & employee meet to discuss employee’s performance for performance period. | X X |
| 13. Supervisor completes comment & rating sections and Overall Performance Summary and shares with employee. Together they complete development plan and employee completes the employee comment section. All initial and sign as indicated. | X X |
| 14. Supervisor reviews Performance Review with next level supervisor; next level supervisor signs. Copies are made for employee & supervisor. Original is sent to Human Resources. | X |

PREPARATION FOR THE REVIEW

What the Supervisor Does

1. The supervisor asks the employee to assess the employee’s performance for the year using the Performance Review and the Accomplishment worksheet as guidelines. The supervisor schedules a time (about 1 hour) with the employee to review the employee’s performance for the year. Allow one to two weeks’ preparation for both the supervisor and employee.
Performance Management Manual

2. Supervisor
   a. Reviews the employee’s job responsibilities and objectives for the year.
   b. Gets feedback on the employee’s performance (see next pages for sources of feedback and some questions to ask when seeking feedback).
   c. Evaluates the employee’s performance for the year. The supervisor uses the Performance Review as a guideline and may make notes on the Performance Review but doesn’t complete the form until during or after the discussion with the employee.

3. Supervisor sets aside adequate time for the review discussion and ensures that environment for review is private and comfortable.

Supervisor Checklist for Preparing Performance Review

When you prepare a performance review, try to answer these questions:

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes/No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Did the employee meet his or her objectives for the period?</td>
<td></td>
</tr>
<tr>
<td>Were there any outside circumstances (new orders, staff cuts, equipment problems) that limited the employee’s ability to meet goals?</td>
<td></td>
</tr>
<tr>
<td>Did you provide the employee with feedback on progress toward goals during the year?</td>
<td></td>
</tr>
<tr>
<td>Do you have records of specific examples of successes, improvements, or weaknesses?</td>
<td></td>
</tr>
<tr>
<td>Do your examples include feedback from internal and external customers, other supervisors, etc.?</td>
<td></td>
</tr>
<tr>
<td>Are your employee performance reviews:</td>
<td></td>
</tr>
<tr>
<td>- Specific?</td>
<td></td>
</tr>
<tr>
<td>- Related to the employee’s objectives &amp; responsibilities?</td>
<td></td>
</tr>
<tr>
<td>- Concerned solely with job behaviors and effort, not personality?</td>
<td></td>
</tr>
<tr>
<td>- Individualized, without comparison to others?</td>
<td></td>
</tr>
<tr>
<td>- Fair and objective?</td>
<td></td>
</tr>
<tr>
<td>- Based on what occurred during the entire period?</td>
<td></td>
</tr>
<tr>
<td>Are you prepared to listen with an open mind to the employee’s own assessment and interpretation of events?</td>
<td></td>
</tr>
<tr>
<td>Do you have some objectives in mind to propose for the coming period?</td>
<td></td>
</tr>
<tr>
<td>Do you have ideas to propose on how you can help the employee improve performance in the coming period?</td>
<td></td>
</tr>
<tr>
<td>Do you have ideas for the employee's professional development?</td>
<td></td>
</tr>
</tbody>
</table>
**What the Employee Does**

1. Employee  
   a. Reviews his/her job responsibilities for the year  
   b. Reviews his/her accomplishments and key activities for the year (Some sources of information can be calendars, notes, reports, and projects)  
   c. Writes out a list of accomplishments  
2. Employee assesses his/her performance for year. He/She may use a copy of the Performance Review form as a guide and/or worksheet.  
3. Employee prepares for the discussion with his/her supervisor.

**Employee Checklist**

When you prepare for your performance review, try to answer these questions:

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Did you meet your objectives for the period?</td>
<td></td>
</tr>
<tr>
<td>Were there any outside circumstances (new demands, staff cuts, equipment problems) that limited your ability to meet objectives?</td>
<td></td>
</tr>
<tr>
<td>Did you get feedback on progress toward objectives during the year?</td>
<td></td>
</tr>
<tr>
<td>Do you have records of specific examples of successes or improvements?</td>
<td></td>
</tr>
<tr>
<td>Do your examples include feedback from customers or colleagues, etc.?</td>
<td></td>
</tr>
<tr>
<td>Is your assessment of your performance:</td>
<td></td>
</tr>
<tr>
<td>Specific?</td>
<td></td>
</tr>
<tr>
<td>Related to your objectives &amp; job responsibilities?</td>
<td></td>
</tr>
<tr>
<td>Fair and objective?</td>
<td></td>
</tr>
<tr>
<td>Based on what occurred during the entire period?</td>
<td></td>
</tr>
<tr>
<td>Are you prepared to listen with an open mind to your supervisor’s assessment and interpretation of events?</td>
<td></td>
</tr>
<tr>
<td>Do you have some objectives in mind to propose for the coming period?</td>
<td></td>
</tr>
<tr>
<td>Do you have ideas to propose on how you can improve performance in the coming period?</td>
<td></td>
</tr>
<tr>
<td>Do you have ideas for your professional development?</td>
<td></td>
</tr>
</tbody>
</table>
Some Sources of Feedback

- The employee’s customers and colleagues who have worked with him/her
- Samples of employee’s work (e.g., reports, projects, events)
- Notes the supervisor has made
- Notes the employee has made
- Calendars (supervisor, employee, department)
- Task groups or committees employee has served on
- Vendors employee works with

Some Questions to Ask When Seeking Feedback

In order to broaden the range of feedback given about an individual’s performance, a supervisor or employee may seek feedback from others with whom the employee interacts. This feedback should not be treated as a “report card” or popularity contest. The intent is to encourage communication that helps recognize and improve performance.

**About Strengths:**

  Supervisor: What is _____ doing that is helpful or working well for you?
  Employee: What am I doing that is helpful to you or working well for you?

  Supervisor: What should _____ continue doing or do more of?
  Employee: What should I continue doing or do more of?

**About Areas for Improvement:**

  Supervisor: What do you think _____ could do better to improve his/her performance?
  Employee: What do you think I could do better to improve my performance?

  Supervisor: What could _____ do less of or stop doing?
  Employee: What could I do less of or stop doing?

  Supervisor: What should _____ start doing?
  Employee: What should I start doing?
CONDUCTING and COMPLETING THE REVIEW

1. The employee and supervisor meet to discuss the employee’s performance.
2. The supervisor generally leads the discussion.
3. Together they review the responsibilities and objectives for the year.
4. The employee and supervisor discuss the employee’s accomplishments, the employee’s self-assessment and the supervisor’s assessment. This is a back and forth dialogue. (See Section 3 on Coaching and Communication.)
5. The employee is encouraged to provide feedback to the supervisor about support or resources he/she needs.
6. At this time the supervisor may complete the comments and ratings sections or does so after the review meeting. During the meeting, the supervisor shares how he/she sees the employee’s performance for the year, listens to what the employee has to say, and takes notes as appropriate.
7. The employee and supervisor discuss the employee’s professional development and complete the Professional Development section. They can complete an expanded version of the Development Plan and attach it to the Performance Review form. (See Toolkit section on Development Plans.)
8. As appropriate the supervisor and employee schedule another meeting to review the completed form and sign where indicated.
9. If the supervisor completes the review form following the review meeting, then he/she shares the completed review with the employee; the employee adds his/her comments (on the Overall Performance Summary page) and each signs the review. The completed review includes comments, ratings, overall summary and ratings, and sections on Professional Development and Responsibilities and Future Objectives.
10. The employee’s comments can include feedback to the supervisor and/or additional information he/she wishes to add about their performance.
11. The Plan for Improvement is available when the overall performance rating on the Performance Review is “Needs Improvement.” Attach it to the Performance Review.
12. If the employee receives an overall rating of “unacceptable,” the supervisor should consult with Human Resources prior to completion of review.
13. Following the completion of the Performance Review, the supervisor reviews it with the next level supervisor, who then signs the Review. Copies are made for employee and supervisor. Original is sent to Human Resources.

EXPLANATION OF PERFORMANCE RATINGS

Overview

In completing the Performance Review, the supervisor writes comments and selects the appropriate ratings to describe the employee’s performance for the full review period. This is done in Sections I, II, and III. The supervisor rates each responsibility and/or objective according to the performance and behavioral expectations that the supervisor and employee have previously agreed on. (These may have been adjusted or changed as the year progressed.) In addition, the supervisor selects one rating for the overall performance summary on the last page of the Performance Review.
The Following Are The Performance Ratings And Their Definitions:

**Exceeds** – Consistently surpasses all expectations and goals. *Use this category sparingly to avoid diluting the value of the 'Meets Expectations' rating.*

**Meets Expectations** – Fully and consistently achieves expectations and goals. *Meets Expectations* is the standard and is commendable. Most employees’ performance will fall into this category.

**Needs Improvement** – Needs improvement to fully achieve expectations/goals. *This rating is for those aspects of performance that require some additional training and development, or for performance in certain areas that is not consistent.*

**Unacceptable** – Fails to meet job expectations. *This is used when performance continually fails to meet acceptable standards.* (If an employee’s performance is “unacceptable,” the supervisor should consult with Human Resources prior to completing the Review.)

Again, when determining individual performance ratings, it is important to keep in mind that *Meets Expectations* is the standard and is commendable. Most employees’ performance will fall into this category.

The Plan for Improvement is available when the overall performance rating on the Performance Review is “Needs Improvement,” but can also be used at any time performance is less than it should be. The *Plan for Improvement* is attached to the Performance Review when it is returned to Human Resources. (See *Toolkit*, Section 9: Development and Improvement Plans.)
Behaviors at Each Rating Level — Examples for General Competencies
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### PERFORMANCE ASSESSMENT LEVELS (RATINGS) – Some Examples for General Competencies

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<thead>
<tr>
<th>Unacceptable</th>
<th>Needs improvement</th>
<th>Meets expectations</th>
<th>Exceeds expectations</th>
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<tr>
<td><strong>Mission &amp; Values</strong></td>
<td>Consistently fails to follow College policies resulting in rework, expense &amp;/or unsafe conditions for College; consistently displays behaviors and actions which are detrimental to coworkers</td>
<td>Occasionally fails to follow College policy resulting in rework; occasionally displays behavior detrimental to coworkers</td>
<td>Continually demonstrates contribution to Catholic and Lasallian community by leading &amp; serving on committees that serve the College &amp; external community; seen as a model for exemplifying College &amp; Lasallian values</td>
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<td><strong>Service</strong></td>
<td>Consistently rude to customers; Refuses to help customers in solving problems; fails to respond to customer requests in timely manner; often ignores customers; frequently conducts personal business while customer waits</td>
<td>Occasionally rude to customers; has difficulty in varying approach with different needs of customers; may have difficulty understanding customer requests; gets annoyed with customer with many questions</td>
<td>Consistently surpasses client expectations of service, quality &amp; outcomes; consistently initiates many service improvement activities; models &amp; champions excellence in customer service; always motivates others to improve service results</td>
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<tr>
<td><strong>Teamwork</strong></td>
<td>Works against team goals; has consistently failed to contribute to team goals; does not communicate project or task status to affected groups when responsible for doing so; frequently argues with co-workers and colleagues, creating conflicts that work against trust &amp; solving problems; usually focuses on blaming others</td>
<td>Motivated (works) more for own goals than that of team/department; does not consistently communicate project or task status to affected groups when responsible for doing so; occasionally argues rather than problem solves with co-workers; sometimes reluctant to help others</td>
<td>Serves as a role model in creating &amp; maintaining enthusiasm for all projects &amp; initiatives; consistently inspires trust &amp; confidence with others; regularly recognized by peers as promoting leadership &amp; teamwork; always helps others in understanding how to achieve goals</td>
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## PERFORMANCE ASSESSMENT LEVELS (RATINGS) – Some Examples for General Competencies

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<tr>
<td><strong>Communication</strong></td>
<td>Often misunderstands what others are saying, leading to mistakes on the job and miscommunication to others; often does not communicate important information to those needing to know; does not listen or ask for clarification; numerous errors &amp; lack of organization in written work; frequently shares confidential information inappropriately</td>
<td>Hard to understand focus of written communication; makes grammatical errors; presentations may be poorly organized &amp; delivered in monotone; has difficulty explaining complicated procedures; frequently talks for long periods of time with little opportunity for others’ contributions</td>
<td>Is convincing and confident when speaking; speaks articulately and concisely; can explain complicated procedures well; is open to diverse views and encourages various viewpoints; listens carefully &amp; seeks clarification to ensure understanding; maintains appropriate confidentiality</td>
<td>Superior written and oral communication skills; always provides information in a timely, clear, concise and effective manner &amp; tone; excellent listener who is able to understand a variety of viewpoints; speaks and writes persuasively and convincingly for many different audiences</td>
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<tr>
<td><strong>Resourcefulness</strong></td>
<td>Never initiates actions or makes suggestions for improvement; when faced with a problem or change, ignores it and does not inform others or seek help; consistently takes action without regard to priorities</td>
<td>When faced with a new situation or multiple demands, sometimes has difficulty adjusting or problem solving ways to respond; inconsistent in determining priorities when changes occur</td>
<td>Anticipates problems and takes action in a timely manner; takes a proactive approach, initiating improvements &amp; changes; works within budget; suggests ways for saving money and better using resources; adjusts to multiple demands and shifting priorities</td>
<td>Shows great insight in anticipating problems &amp; devising solutions; takes leadership in identifying problems &amp; opportunities and supporting initiatives; uses innovative ways to use &amp; save resources; always proactive, planning ahead, reassessing &amp; determining priorities in line with College &amp; department goals</td>
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<tr>
<td><strong>Quality &amp; Quantity of Work</strong></td>
<td>Has frequently damaged or wasted resources; always late or inaccurate in completing assignments even when adequate resources are available; work is far below established standards; when problems arise, fails to attempt to solve problems; frequent errors in work have caused lack of payment to vendors or work stoppage several times; excessive absences</td>
<td>Sometimes wastes needed resources; sometimes records are inaccurate requiring rework and delay; computer skills on XYZ are basic where new job assignments require additional skills</td>
<td>Demonstrates functional and technical knowledge &amp; skills to perform all duties and responsibilities; able to acquire &amp; learn new skills when needed; produces well without slowing others down; work is regularly completed on time &amp; error free and of high quality</td>
<td>Is recognized as the “expert” in his/her area of knowledge; is regularly sought out by others for advice/training/clarification; completes many more projects &amp; work of very high quality than expected; takes on new, valuable projects on own</td>
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</table>
Behaviors at Each Rating Level—Examples for Supervisory & Management Competencies
## PERFORMANCE ASSESSMENT LEVELS (RATINGS) – Some Examples for Supervisory & Management Competencies

<table>
<thead>
<tr>
<th>Managing &amp; Developing Staff</th>
<th>Unacceptable</th>
<th>Needs improvement</th>
<th>Meets expectations</th>
<th>Exceeds expectations</th>
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<tr>
<td>Does not provide employees with clear expectations regarding desired results or with feedback on performance; if does, is very inconsistent and/or inappropriately shares with others; never or rarely addresses performance problems and allows problems to go on too long; usually communicates one way and often puts staff down; consistently out of touch with work going on and rarely, if ever, provides training opportunities; usually does not complete performance reviews or conduct coaching meetings with staff; does not orient new staff to their tasks and responsibilities.</td>
<td>Is inconsistent in setting &amp; communicating expectations; micromanages many employee activities; has difficulty delegating tasks &amp; projects that can be delegated, or over-delegates; new employees often do not work out; has higher turnover rate than average; has difficulty handling employee conflicts and problem solving with employees; sometimes does not complete performance reviews; tends to restrict learning opportunities or not develop staff to perform needed duties; poor planning results in staff overload; fails to check on progress of delegated assignments.</td>
<td>Chooses staff wisely; sets clear performance expectations with each staff member; delegates appropriately; coaches and develops staff on a regular basis; looks for ways to recognize and appropriately train staff; conducts and completes performance reviews in timely manner; recognizes staff appropriately and gives timely and effective feedback on performance; deals with performance issues in timely manner and works to support improved performance.</td>
<td>Always sets clear performance expectations with employees; assures alignment with dept. &amp; organizational goals; uses delegation well to develop employees; very effectively handles employee conflicts; is a model for others in coaching and developing employees, giving feedback, and completing performance reviews; strong at screening and hiring staff; listens carefully to employee needs and removes obstacles to performance wherever possible.</td>
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<p>| Leadership | Treats staff unfairly by consistently favoring some staff over others; dictates rather than leads; appears totally unable to build teams and direct others' activities; sets goals contrary to College's mission; will not solicit opinions from others; never involves others in making decisions; frequently acts without integrity, injuring others or interfering with the activities of others; fails to act in complex situations; fails to motivate or direct staff. | Sometimes fails to inform staff on important issues or changes; sometimes fails to treat staff equitably; has some biases that sometime get in the way of treating staff fairly; often does not get involved to resolve disputes among employees; sets unrealistic goals; usually doesn’t involve staff in decision making. | Gets staff input for major decisions; helps staff understand department and college goals; treats employee input seriously; provides needed information to staff and management; makes decisions based on performance, not personal characteristics; regularly shares appropriate management information in staff meetings; listens carefully &amp; looks for common ground; diplomatic without sidestepping critical issues; holds &amp; displays College’s values; effectively motivates &amp; directs; encourages others to share ideas &amp; support one another. | Drives others to achieve goals; creates strong team; manages the team process with great skill; inspires others to have confidence in themselves; open to criticism; always keeps employees in loop with what they need to know and models behavior exemplifying the values of SMC; sensitive to &amp; respectful of all individuals; acts as conflict troubleshooter within organization; persevered through many leadership challenges; has staff fired up and committed to organizational goals and vision; uses participative approach whenever called for; takes blame &amp; shares successes; sets an example for others; a teacher &amp; guide. |</p>
<table>
<thead>
<tr>
<th>Resource Management</th>
<th>Needs improvement</th>
<th>Meets expectations</th>
<th>Exceeds expectations</th>
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<tr>
<td>Performance Assessment Levels (Ratings) – Some Examples for Supervisory &amp; Management Competencies</td>
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**Unacceptable**
- Manages budget causing significant expense due to inappropriate spending; frequently misses major deadlines, resulting in wasted resources and time; fails to maintain necessary controls; resource allocation is inappropriate; projects are not well planned; does not adequately prioritize tasks or projects; does not adequately communicate with team members; allows others to make decisions for him/herself; procrastinates; frequently misses critical deadlines; permits mistakes in important decisions; makes bad decisions; frequently causes delays; often has multiple responsibilities; often forgets to do minor tasks that cost time later.

**Needs improvement**
- Manages budget appropriately; frequently misses major deadlines, resulting in wasted resources and time; fails to maintain necessary controls; resource allocation is inappropriate; projects are not well planned; does not adequately prioritize tasks or projects; does not adequately communicate with team members; allows others to make decisions for him/herself; procrastinates; frequently misses critical deadlines; permits mistakes in important decisions; makes bad decisions; frequently causes delays; often has multiple responsibilities; often forgets to do minor tasks that cost time later.

**Meets expectations**
- Manages budget appropriately; generally on time; does not make critical decisions; makes good decisions; does not cause delays; effectively handles multiple responsibilities; often prioritizes tasks and projects; usually communicates effectively with team members; rarely makes mistakes in important decisions; permits timely decisions; makes good decisions; rarely causes delays; usually has multiple responsibilities; rarely forgets to do minor tasks that cost time later.

**Exceeds expectations**
- Manages budget appropriately; never misses major deadlines; always maintains necessary controls; always allocates resources appropriately; projects are always well planned; always adequately prioritizes tasks and projects; always communicates effectively with team members; rarely makes mistakes in important decisions; permits timely decisions; makes good decisions; rarely causes delays; effectively handles multiple responsibilities; never forgets to do minor tasks that cost time later.

**Decision Making & Judgment**
- Knows when a problem warrants solving and uses good judgment in solving problems; anticipates problems; anticipates resource needs; seeks input from others and weighs pros and cons of solutions; makes good decisions; rarely causes delays; effectively handles multiple responsibilities; never forgets to do minor tasks that cost time later.

**Juggles various tasks and demands; meets goals and other demands on time; efficiently manages multiple demands; provides assistance; develops budgets; plans time wisely; handles multiple demands well; often exceeds goals; and may complete projects early; uses innovative and effective ways to save money and resources; accomplishes goals beyond expectations; develops resourceful solutions; anticipates problems and solutions; avoids costly delays; plans and coordinates projects well; always comes through when faced with a dilemma.**

**Performs well under pressure or lack of opportunity; can see big picture in planning; makes sound decisions; anticipates needs and problems of projects; plans are generally practical and doable; stays within budget except for emergency situations; takes necessary small expenditures; manages interruptions well; effectively breaks down tasks into workable parts; plans well ahead; and makes good decisions; rarely causes delays; effectively handles multiple responsibilities; never forgets to do minor tasks that cost time later.
### PERFORMANCE ASSESSMENT LEVELS (RATINGS) – Some Examples for Supervisory & Management Competencies

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<tr>
<td>Managing Change</td>
<td>Fails to inform those affected by change; fails to shift or make changes in priorities; lacks flexibility in most situations</td>
<td>Resists changes; argues against resetting priorities; may not consistently inform others of changes; frequently will not change mind even when presented with evidence</td>
<td>Adjusts to changes fairly well; will accept changes in priorities as required; considers human costs when changes made; when making changes, keeps staff informed in timely manner; makes a plan and follows up with it when making significant changes; involves staff in the decisions that affect them</td>
<td>Has mastered different approaches to situations and can flexibly respond when required; able to shift focus rapidly when needed; demonstrates calm in the face of major problems or change; when making significant changes always keeps staff—and others with need to know— informed; whenever possible, always plans the change in advance along with contingency plans as change occurs; always communicates in ways that help others understand the change and involves staff in the decisions that impact them</td>
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Example of Completed Performance Review for Supervisor
Saint Mary’s College of California is a Catholic, Lasallian and Liberal Arts College known widely for providing an excellent learning environment for students. It is a community of learners—students, faculty and staff—who support the organization’s mission:

- To probe deeply the mystery of existence by cultivating the ways of knowing and the arts of thinking.
- To affirm and foster the Christian understanding of the human person which animates the education mission of the Catholic Church.
- To create a student-centered educational community whose members support one another with mutual understanding and respect.

The effective performance of each individual is necessary to achieve the College’s mission. The College expects all its employees to exemplify its values through committed leadership, ongoing learning, and concern for human relationships.

**Employee:** Christine Brothers

**Supervisor:** Dale LaSalle

**Employee Job Title:** Director of Facilities

**Job Grade:** 10

**Department:** Administration

**Objectives, Development & Performance Period:**

**From:** 7-1-03  
**Through:** 6-30-04

- [ ] Introductory Review
- [x] End of Year Review

**Date:** 6-1-04
### Primary Performance Expectations: Responsibilities &/or Objectives

<table>
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<tr>
<th>Expectations</th>
<th>Comments</th>
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<tbody>
<tr>
<td>Develop and implement 5-year strategic plan for the Facilities Department by 12/1/03 to include construction, rehabilitation, and maintenance of physical plant facilities and parking areas as well as the power plant.</td>
<td>Working with a consultant, Chris developed a well-written 5-year strategic plan that clearly outlines the resources, budget, and personnel needed to accomplish ongoing maintenance, construction, and rehabilitation of physical plant facilities. Now she needs to work with her supervisory team to set objectives and expectations for each of their areas, and to coach them on effectively communicating with their direct reports.</td>
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<tr>
<td>Operate within budget guidelines; allocate expenditures in a fair and reasoned manner; pay close attention to monitoring budget variances and plan appropriate adjustments to achieve a balanced budget at the end of the fiscal year.</td>
<td>Chris allocates resources wisely, staying within budget except for emergency situations or situations beyond her control, such as the high and unexpected increase from PG&amp;E last year.</td>
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<tr>
<td>Develop and implement plan for 24/7 coverage of maintenance for the campus by 9/1/03.</td>
<td>Working with her management team, Chris developed a staffing plan, which accomplished the goal of 24/7 coverage. Her staff is spread quite thin so I would encourage her to move quickly to fill the two open building maintenance positions. Feedback from campus constituents has been very positive.</td>
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<tr>
<td>Be more visible on campus by actively participating in campus committees such as the Planning Committee, Budget Committee, and Athletics Committee, in order to create a better understanding of the resources, needs and limitations of the Facilities Department.</td>
<td>Chris is actively involved in numerous College committees including Planning, Budget and Athletics. She has to be careful not to stretch herself too thin by volunteering to help other departments when time does not allow. Feedback from committee members indicates that they truly appreciate Chris’s contributions to the work of these committees.</td>
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<tr>
<td>Recruit, coach and develop staff and provide opportunities for training and growth by: Ensuring that all new employees attend new hire orientation and safety training by the end of their 90 day introductory period, and Ensuring that all supervisors attend the Leadership Development Program by the end of 2004. This objective is to be measured by a quarterly statistical report of employee turnover and an employee survey to be completed during the 4th Quarter of 2004.</td>
<td>Chris has had some difficulty this year selecting qualified candidates for her open positions. Several of the newly hired employees did not work out and had to be replaced. I would suggest that Chris not delegate this task solely to her supervisors but be more involved with the search committees. She also should train her supervisors on effective interviewing skills (with assistance from HR as needed). Chris needs to work on setting clearer performance expectations for her supervisors, giving them feedback in a timely manner and following up on their progress (or lack of). I would like Chris to attend the summer session of the Leadership Development Program offered by HR as well as any workshops involving effective communication skills.</td>
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## SECTION II
### PERFORMANCE COMPETENCIES

<table>
<thead>
<tr>
<th>General Competencies</th>
<th>Comments</th>
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<tbody>
<tr>
<td>Mission &amp; Values - Perform day-to-day activities &amp; job responsibilities in ways that</td>
<td>Chris sets an example for her department in her service to the campus by participating in committees and events on campus, and by developing positive relationships with the Brothers and other constituencies across campus. She ensures that her direct reports follow College policies and consults regularly with HR when questions arise.</td>
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<tr>
<td>support &amp; enhance the College’s mission &amp; its Catholic, Lasallian &amp; Liberal Arts</td>
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<tr>
<td>traditions, e.g., service to community, dedication, taking ownership for success of</td>
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<td>SMC, exemplifying behavior that is a model for others, &amp; adhering to College policies</td>
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<tr>
<td>Service - Demonstrate commitment to providing everyone with highest level of service:</td>
<td>Chris has provided training on customer service for her department, which has resulted in positive feedback from customers. She is very good at following up to ensure that complaints/requests from customers are handled in a timely manner, and has passed that skill onto her staff. She is patient and respectful to customers, but does not always treat her department staff in the same positive manner.</td>
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<tr>
<td>provide friendly, caring service; exhibit patience &amp; respect; follow up &amp; follow through;</td>
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<td>respond sincerely, promptly, consistently &amp; appropriately to everyone every time; and</td>
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<td>establish &amp; maintain effective relationships with those we serve &amp; gain their trust &amp;</td>
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<tr>
<td>respect</td>
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<td>Teamwork - Maintain harmonious &amp; effective work relationships with co-workers &amp; others;</td>
<td>See &quot;Mission and Values.&quot; Chris collaborates well with other department managers to learn how her department can improve work processes to better serve the community. She has worked well with her staff to develop goals and objectives for the department that are aligned with the College's strategic plan, and has successfully communicated these goals to her staff.</td>
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<td>and collaborate with departments, campus community, &amp; external sources, as appropriate,</td>
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<td>to promote cooperative work relationships, improve work processes, &amp; achieve goals and</td>
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<tr>
<td>objectives</td>
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<tr>
<td>Communication - Effectively convey information &amp; ideas both orally &amp; in writing;</td>
<td>Chris effectively communicates with all levels of management and with customers. She writes clear, concise memos and emails and excels at giving presentations to the President’s Cabinet and other College groups. However, she needs to work at communicating in a more positive manner with her staff. At times she can be abrupt and raise her voice when she talks to her staff. She needs to work at creating a more open, positive environment in which her employees' opinions are valued and respected.</td>
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<td>listen carefully &amp; seek clarification to ensure understanding; promote an open</td>
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<td>environment where diverse perspectives are respected, developed, &amp; valued; and</td>
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<tr>
<td>maintain appropriate confidentiality</td>
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<tr>
<td>Resourcefulness - Consistently initiate ideas &amp; actions that impact our success;</td>
<td>This has been a difficult year for Chris, with several staff members absent for long periods of time due to illness. She has worked creatively to shift individuals around and hire temporary employees to maintain the same level of service. As a member of the Planning Committee and other College committees, Chris consistently offers creative ideas and solutions for the challenges faced by the College. For example, she researched the parking issue at other Bay Area colleges and proposed a solution that was adopted by the Planning Committee and later approved by the President and the Board. Chris's department encounters constantly shifting priorities and multiple demands from customers. She has set up an effective system to monitor customer requests and emergencies, which has resulted in increased customer satisfaction.</td>
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<td>Proactively take or recommend appropriate actions, solutions or improvement when the</td>
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<td>situation demands it; persevere when encountering challenges &amp; obstacles; and</td>
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<td>adjust to effectively accommodate multiple demands &amp; shifting priorities</td>
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<td>Quality &amp; Quantity of Work - Demonstrate knowledge, technical expertise, &amp; problem</td>
<td>Chris has the technical skills and expertise to effectively manage the Facilities Department. She has enhanced the department’s reputation by implementing a software tracking system for customer requests and by training her staff in customer service, safety, and project management. She has also worked with HR to ensure that her supervisors attend the</td>
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<td>solving skills necessary to perform job effectively; make quality decisions based on</td>
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<td>sound judgment; complete assignments in a thorough, accurate &amp; timely manner that</td>
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<td>achieves expected outcomes; preserve College finances &amp; maintain &amp; care for College</td>
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<td>property; &amp; meet College &amp;/or department attendance standards</td>
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### Performance Ratings

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<tr>
<th>Exceeds Expectations</th>
<th>Meets Expectations</th>
<th>Needs Improvement</th>
<th>Unacceptable</th>
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Exceeds Expectations

Meets Expectations

Needs Improvement

Unacceptable

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Section II 2/04
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<th>Supervisor Initials</th>
<th>Date</th>
<th>Employee Initials</th>
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Saint Mary’s College of California

PERFORMANCE REVIEW

(End of Year or Introductory)

College’s Leadership Development Program
### Supervisory & Management Competencies

#### Managing and Developing Staff - Recruit & hire appropriate staff; provide employees clear expectations regarding organization’s values & desired results; give clear & honest performance feedback; communicate in ways that invite two-way dialogue; coach & develop staff & provide opportunity for training and growth; recognize staff for efforts & achievement & ensure staff are treated with respect & in a fair & equitable manner; and constructively address performance problems

*See “Quality/Quantity” above. While Chris has sent her supervisors to training, she needs to follow up by coaching and counseling them, to help them be more effective in their jobs. Chris has worked effectively with her staff to develop goals and objectives so that they understand clearly what is expected of them and how their work relates to the overall strategic plan of the College. As mentioned previously, she needs to improve how she communicates with her staff. Chris regularly consults with HR when hiring new employees. See additional comments in objectives under “Recruiting.”*

#### Leadership - Create a supportive staff environment, which fosters individual motivation, high levels of individual and team performance, & quality of service: Seek performance feedback & incorporate into department objectives; develop & communicate clear objectives that support department & College mission & goals; build a workforce that recognizes & values the positive influences of diverse cultures, viewpoints, styles & other aspects of individual differences; set a tone of integrity & ethics; encourage & facilitate cooperation, pride, & trust; empower & inspire staff by sharing information, knowledge, skills, & authority; think & plan strategically; and lead by example

*In her three years as Director of Facilities, Chris has created an environment which fosters a high level of customer service. She has achieved this by training her staff and setting a positive example with customers. However, as mentioned previously, she needs to adopt the same manner with her staff as she displays with her customers.*

#### Resource Management - Develop plans & organize resources (technology, equipment, budget, space, & staff) for implementation of projects & programs: Utilize existing & new resources effectively & efficiently; plan, administer, & monitor budget to ensure cost effectiveness; and accommodate multiple demands for commitment of time, energy & resources

*Chris has effectively managed numerous projects with her staff this past year, while juggling multiple priorities and demands. She effectively plans work schedules to balance peak and slack periods and employee absenteeism. She is adept at making effective use of department resources, and effectively controls costs through economical utilization of personnel, materials and equipment. She makes realistic budget projections and deals promptly and effectively with budget variances, always communicating with her manager.*

#### Decision Making and Judgment - Analyze facts and data, use sound judgment, & seek input & assistance from others to arrive at most effective solutions; make decisions in a timely manner, even under uncertain conditions, considering both the immediate and long-term consequences; follow up to ensure problems are resolved; and maintain appropriate confidentiality

*Chris analyzes facts and data effectively, asking for input and assistance when needed. She makes decisions with confidence after assembling all available facts. She does not, however, always make decisions in a timely manner, sometimes putting off more difficult decisions.*

#### Managing Change - Initiate actions that foster acceptance of organizational change: Communicate in ways that help employees understand the change; involve employees in the decisions that impact them; and establish structures, practices & feedback to support successful implementation of the change

*This past year Chris implemented 24/7 coverage, which involved shifting employees to accommodate the new schedule (graveyard shift). She involved her staff in all aspects of this change, which resulted in a smooth transition. This schedule change was her idea and has been very positive for the campus. However, at times she displays resistance when she is told by her manager to implement new procedures that she does not agree with.*

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**Supervisor Initials**  Date  **Employee Initials**  Date
SECTION III

OVERALL PERFORMANCE SUMMARY

Comments: (Based on a review of Sections I and II)
Strengths: Chris supports and enhances the mission of the College through her participation in committees and events on campus and by the positive relationships she has developed across campus. She collaborates with other department managers to learn ways of continuously improving customer service in the Facilities department, and has implemented a software tracking system for customer requests. She makes effective use of department resources and effectively controls costs through economical utilization of personnel, materials and equipment. She plans, administers and monitors her department’s budget to ensure cost effectiveness. Areas for development: Chris needs to work on communicating effectively with her staff – setting clearer performance expectations, providing feedback in a timely and constructive manner, and creating an open, positive environment in which their opinions are valued and respected.

Professional Development Plan:
- Improve communication with staff by attending Leadership Development Program in the summer of 2004 and the workshops offered by Human Resources on active listening, giving and receiving feedback, and setting performance expectations.

Responsibilities and Future Objectives (Complete the responsibilities &/or objectives in Section I for next review period.)
- Collaborate with Athletics Department, Architect's Office and Planning Department to plan for relocation of the baseball field in June of 2004 and construction of the new Athletics facility beginning in June of 2005.
- Meet weekly with Vice Provost for Student Affairs to discuss and plan maintenance and repair issues.
- Prepare quarterly reports for the President's Cabinet showing status and costs of maintenance and repair projects on campus.

Employee Comments (Include feedback to the supervisor on ways in which supervisor can assist you in meeting responsibilities &/or objectives & enhancing performance competencies):
Although I recognize that I need development in communications with my staff, it should be noted that the department has been short of critical staff this past year and the budget severely limited. I have been juggling multiple priorities, being in when employees were absent, so my communication skills may have suffered as a result. I encourage my supervisor to use his influence to provide a more reasonable budget for the Facilities Department that is more reflective of the needs and priorities of the campus. I welcome any opportunities for development and growth. I enjoy working with you and appreciate our very open and honest weekly meetings. The emails you send apprising me of Cabinet decisions and discussions that impact the Facilities area are very helpful. I would like, however, to be asked to present Facilities projects directly to the Cabinet, if feasible.

Supervisor Signature Date Employee Signature Date
Signature of Next Level Supervisor Date
Example of Completed Performance Review—Staff (Non-Supervisory)
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Saint Mary’s College of California is a Catholic, Lasallian and Liberal Arts College known widely for providing an excellent learning environment for students. It is a community of learners—students, faculty and staff—who support the organization’s mission:

- To probe deeply the mystery of existence by cultivating the ways of knowing and the arts of thinking.
- To affirm and foster the Christian understanding of the human person which animates the education mission of the Catholic Church.
- To create a student-centered educational community whose members support one another with mutual understanding and respect.

The effective performance of each individual is necessary to achieve the College’s mission. The College expects all its employees to exemplify its values through committed leadership, ongoing learning, and concern for human relationships.

<table>
<thead>
<tr>
<th>Employee: Sue Job</th>
<th>Supervisor: Bob Boss</th>
</tr>
</thead>
<tbody>
<tr>
<td>Employee Job Title: Services Specialist</td>
<td>Job Grade: 4</td>
</tr>
<tr>
<td>Department: Registrar</td>
<td></td>
</tr>
</tbody>
</table>

Objectives, Development & Performance Period:

- From: 6-1-03
- Through: 5-31-04

- Introductory Review
- End of Year Review

Date: 5-18-04
### Performance Review

#### (End of Year or Introductory)

**STAFF (Non-Supervisory)**

### SECTION I

#### RESPONSIBILITIES &/OR OBJECTIVES

<table>
<thead>
<tr>
<th>Primary Performance Expectations: Responsibilities &amp;/or Objectives</th>
<th>Comments</th>
<th>Performance Ratings</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provide excellent customer service to students and faculty by responding to questions and resolving problems within the purview of the Registrar function in accordance with College mission and goals and in alignment with department standards. Students, faculty and the public are our clientele. Service to our clientele will be friendly, respectful and accurately and promptly provided within a 24 hr. period.</td>
<td>Sue has developed very good rapport with students and faculty. Generally responds to inquiries within 24 hrs. When she is not able to do so, she generally updates the person as to the status of her progress on the matter. Sue’s efficiency would be enhanced by development of a system that allows her to keep track of those inquiries that require research, so that she can get back to the customer in a more timely way.</td>
<td><img src="ME" alt="Exceeds Expectations" /> <img src="EE" alt="Meets Expectations" /> <img src="NI" alt="Needs Improvement" /> <img src="U" alt="Unacceptable" /></td>
</tr>
<tr>
<td>Master understanding and achieve satisfactory level of performance in all areas of responsibility for Services Specialist in the Registrar’s Office. In your first year you will demonstrate a satisfactory level of proficiency by being able to answer phone and in-person inquiries regarding registration, add/drop, petitioning and other processes; you will demonstrate a competence with Colleague that allows you to efficiently move about the system in order to gather the information you need to be effective in your job.</td>
<td>In your first year in the position of Services Specialist, you have been exposed and trained in all facets of the responsibility of your position. You have become proficient in all processes of a Services Specialist, particularly in the area of registration. Your vision of the overall registration process and interest in bringing the office into full usage of the Colleague registration module is appreciated. Of particular note is the progress you’ve made with streamlining on-line registration.</td>
<td><img src="ME" alt="Exceeds Expectations" /> <img src="EE" alt="Meets Expectations" /> <img src="NI" alt="Needs Improvement" /> <img src="U" alt="Unacceptable" /></td>
</tr>
<tr>
<td>Work cooperatively with members of the Registrar team and be willing to assist co-workers as time allows and/or priority requires. Regularly participate in and contribute to topics of discussion in staff meetings; participate and contribute to the business of the Enrollment Services Clientele Service Team.</td>
<td>Sue has become respected in the department for her willingness to assist others in their duties as her job knowledge and familiarity with co-workers has increased. Of particular note is her assistance with the mailing of transcripts last November when we were deluged with requests.</td>
<td><img src="ME" alt="Exceeds Expectations" /> <img src="EE" alt="Meets Expectations" /> <img src="NI" alt="Needs Improvement" /> <img src="U" alt="Unacceptable" /></td>
</tr>
<tr>
<td>Answer telephones and service counter clients in a timely manner providing accurate, complete, and helpful information. Standard: Answer phone before third ring; assist at counter when a second person joins the line. Standard: Provide immediate answers to inquiries or respond within 24 hrs. if the inquiry requires research.</td>
<td>Sue is quick to answer phones in her friendly, helpful manner and promptly responds when needed to service the counter. As stated above, she can further strengthen her performance by keeping better track of the calls when the inquiry needs research and a return call to the inquirer.</td>
<td><img src="ME" alt="Exceeds Expectations" /> <img src="EE" alt="Meets Expectations" /> <img src="NI" alt="Needs Improvement" /> <img src="U" alt="Unacceptable" /></td>
</tr>
<tr>
<td>Become knowledgeable of the capabilities and proficient in the execution of Datatel Colleague system processes as demonstrated by the timely, accurate answers to inquiries and satisfactory completion of projects, reports, and research. Participate in Colleague Service User Group bi-monthly online meetings. Bring to Registrar staff items of interest for discussion and possible implementation.</td>
<td>Sue attended basic Colleague training and has received in-office training by the Assistant Registrar. She has been quick to assimilate the training and able to apply it to being successful. She has served as one of two representatives to the Datatel Registrar’s User group. She has been diligent in obtaining concerns from co-workers to discuss during the User Group online meetings and returning with options and answers to those concerns. As she further develops her Colleague skills, she will be able to more fully contribute to the flow of knowledge during those meetings.</td>
<td><img src="ME" alt="Exceeds Expectations" /> <img src="EE" alt="Meets Expectations" /> <img src="NI" alt="Needs Improvement" /> <img src="U" alt="Unacceptable" /></td>
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**Supervisor Initials** 
**Date**

**Employee Initials** 
**Date**
### SECTION II

#### PERFORMANCE COMPETENCIES

<table>
<thead>
<tr>
<th>General Competencies</th>
<th>Comments</th>
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<tbody>
<tr>
<td><strong>Mission &amp; Values</strong> – Perform day-to-day activities &amp; job responsibilities in ways that support &amp; enhance the College’s mission &amp; its Catholic, Lasallian &amp; Liberal Arts traditions, e.g., service to community, dedication, taking ownership for success of SMC, exemplifying behavior that is a model for others, &amp; adhering to College policies.</td>
<td>Sue performs her job of Service Specialist in a manner that demonstrates an understanding and application of the College mission and values. We have received comments from both students and faculty who have appreciated her observance of policies while being able to explain those policies in a manner that is understandable and respectful of the inquirer’s position. Sue volunteered to coordinate for the office the preparation of three (3) Thanksgiving baskets that were distributed by Campus Ministry.</td>
</tr>
<tr>
<td><strong>Service</strong> – Demonstrate commitment to providing everyone with highest level of service: Provide friendly, caring service; exhibit patience &amp; respect; follow up &amp; follow through; respond sincerely, promptly, consistently &amp; appropriately to everyone every time; and establish &amp; maintain effective relationships with those we serve &amp; gain their trust &amp; respect.</td>
<td>Sue is eagerly and effectively responsive to student and faculty requests as they occur. She needs to develop a system for improving her process of follow-up in situations when the request or inquiry requires some degree of research and getting back to the student or faculty member.</td>
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<td><strong>Teamwork</strong> – Maintain harmonious &amp; effective work relationships with co-workers &amp; others; and collaborate with departments, campus community, &amp; external sources, as appropriate, to promote cooperative work relationships, improve work processes, &amp; achieve goals and objectives.</td>
<td>Improvement in this area since mid-year review is commendable. Sue’s attitude of team play has earned the respect of colleagues by being willing to assist when the situation warrants. Margaret was particularly appreciative of your willing assistance with distribution of the grade petitions in the Fall when we were delayed by the computer failure.</td>
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<tr>
<td><strong>Communication</strong> – Effectively convey information &amp; ideas both orally &amp; in writing; listen carefully &amp; seek clarification to ensure understanding; promote an open environment where diverse perspectives are respected, developed, &amp; valued; and maintain appropriate confidentiality.</td>
<td>Your good communication skills allow you to deliver difficult messages in a manner that usually elicits understanding and acceptance. For example, when your composure is challenged, you generally listen “smartly” and hear your subject out to perhaps find a different way to explain the situation. I would appreciate your diligence in keeping me better informed on the status of your projects and unresolved issues. As we have discussed, I learned of the delay in getting the research on history grades when I attended the Chairs meeting. Had you let me know of the problem, we probably could have worked out a resolution and I wouldn’t have been caught off-guard by the disclosure during the meeting. Let’s discuss ways and means by which information exchange can regularly occur.</td>
</tr>
<tr>
<td><strong>Resourcefulness</strong> – Consistently initiate ideas &amp; actions that impact our success: Proactively take or recommend appropriate actions, solutions or improvement when the situation demands it; persevere when encountering challenges &amp; obstacles; and adjust to effectively accommodate multiple demands &amp; shifting priorities.</td>
<td>Input at staff meetings is valued and usually well thought out. You have demonstrated an expanded focus of the “big picture” by regularly bringing to the staff meetings concerns and contributing resolutions of Colleague issues. Your analytical thinking has been valuable to the department.</td>
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#### Performance Ratings

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<thead>
<tr>
<th></th>
<th>Exceeds Expectations</th>
<th>Meets Expectations</th>
<th>Needs Improvement</th>
<th>Unacceptable</th>
</tr>
</thead>
<tbody>
<tr>
<td>Mission &amp; Values</td>
<td>□ EE</td>
<td>□ ME</td>
<td>□ NI</td>
<td>□ U</td>
</tr>
<tr>
<td>Service</td>
<td>□ EE</td>
<td>□ ME</td>
<td>□ NI</td>
<td>□ U</td>
</tr>
<tr>
<td>Teamwork</td>
<td>□ EE</td>
<td>□ ME</td>
<td>□ NI</td>
<td>□ U</td>
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<tr>
<td>Communication</td>
<td>□ EE</td>
<td>□ ME</td>
<td>□ NI</td>
<td>□ U</td>
</tr>
<tr>
<td>Resourcefulness</td>
<td>□ EE</td>
<td>□ ME</td>
<td>□ NI</td>
<td>□ U</td>
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</tbody>
</table>
**Quality & Quantity of Work**
- Demonstrate knowledge, technical expertise, & problem solving skills necessary to perform job effectively; make quality decisions based on sound judgment; complete assignments in a thorough, accurate & timely manner that achieves expected outcomes; preserve College finances & maintain & care for College property; and meet College &/or department attendance standards

<table>
<thead>
<tr>
<th>Supervisory Initials</th>
<th>Date</th>
<th>Employee Initials</th>
<th>Date</th>
</tr>
</thead>
</table>

As a member of the Registrar team for 14 months, your exposure and training in all aspects of the operation is complete. You have generally learned and are performing satisfactorily the procedures for accomplishing the job of Services Specialist in our ever-evolving environment. Your response time to inquiries has steadily improved and is generally accomplished within the 24 hr. goal. You need to pay more attention to tracking and follow-up of issues that come to your attention that need additional research so that an answer and return call to the client is made in a timely manner. Your attendance and punctuality are good.
SECTION III  OVERALL PERFORMANCE SUMMARY

Comments: (Based on a review of Sections I and II)
Sue has been increasingly effective as the year progressed while learning the many facets of her job. Her one-to-one customer service skills, effective communication style, and her ability to absorb the intricacies of the work, place her high among the staff. Attention to the detail of research and getting back to clients will further improve her performance. Her rapport with students and faculty has demonstrated her customer service skills and represents the Registrar’s office well.

Exceeds Expectations (Performance consistently surpasses all expectations and goals)
✓ Meets Expectations (Performance fully and consistently achieves expectations and goals)
 Неeds Improvement (Performance needs improvement to fully achieve expectations and goals)
Unacceptable (Performance fails to meet job expectations)

Plan for Improvement:
Yes [ ]
No [ ]

Professional Development Plan:
(1) Increase Colleague expertise by attending the Datatel two-day Registrar Users Conference in San Francisco in June 2004.
(2) Increase presentation and leadership skills by presenting a summary of registration topics learned at the Conference at our July retreat. At the Registrar Retreat, lead the discussion of registration and possible implementation of advances for our organization.

Responsibilities and Future Objectives (Complete the responsibilities &/or objectives in Section I for next review period.
With continued progress and training, I feel Sue is qualified to assume the responsibilities of Registration Lead in 2005. Further training toward that goal will take place with the Associate Registrar when we return from the Retreat and approach August registration. The following objectives will assist the plan:
- Review and update the Registration manual with assistance from the Associate Registrar by August 1, 2004. Of particular importance is entering revisions to the Fall Semester, January Term, and Spring Semester that were made this past academic year.
- Meet with IT to assure that updates to online registration are in place by August 1, 2004.
- Review the online registration website to assure that all forms are current and accurate by August 1, 2004.
- Review hard copy registration forms by August 10, 2004 to assure they are current and accurate and that the supply is adequate for fall registration.

These objectives, among others when determined, will be entered into Section I, Responsibilities &/or Objectives, of the next Performance forms.

Employee Comments (Include feedback to the supervisor on ways in which supervisor can assist you in meeting responsibilities &/or objectives & enhancing performance competencies):
I appreciate the training I have received this year that has allowed me to feel successful in my job. I enjoy my work with students, faculty, and the co-workers that I interact with daily. I recognize that on occasion I have allowed inquiries to “slip through the cracks,” and have started an online listing of those issues and customers that require return calls. I think this will help with my tendency to get busy with other things and fail to respond in the required 24 hr. period. With regard to keeping you regularly informed of the status of projects, I would like to suggest that we plan a 15- minute meeting on Tuesday mornings. I would like the agenda to include items concerning my new registration responsibilities. I’m pleased to be given the opportunity to assist with registration issues and further train with the Associate Registrar. Even though Whitmore did not use Datatel, I believe my online registration experience there will be valuable to us.
ACCOMPLISHMENTS

To clarify accomplishments, an employee can ask him/herself:

1) What key responsibilities does my job require? To what extent do I fulfill them?
2) What were my specific accomplishments during the performance review period?
3) What responsibilities (or objectives/standards) did I fall short of meeting?

Writing Accomplishment Statements

A useful way for writing accomplishments is to use the PSR method, which stands for problem, solution, and result. It is a methodology for reporting accomplishments and contributions. PSR is a brief statement that describes a problem the employee faced or a need he/she dealt with, how he/she responded — the solution — and the value or impact for the organization or department — the result.

Steps for Writing an Accomplishment Statement Using the PSR Method:

1) Define the Problem — What PROBLEM existed in the workplace?
2) Explain the Solution — What action did you take to RESOLVE the problem?
3) Describe the Results — What were the beneficial RESULTS or impact of your action or solution?
4) Write an Accomplishment Statement — Combine the Problem-Solution-Result information into one sentence. Use this formula: Action verb + phrase describing solution + phrase describing result. You can vary this format as follows: Action verb + phrase describing result + phrase describing solution.

Example of Accomplishment Statement Using PSR Method:

- Problem – Hard to find information required in office – missing files or several file systems that contain similar information
- Solution – Reorganization of many file systems into one with clear system and instructions for maintaining office records
- Result – Office personnel can quickly find needed information and also file or refile correctly and easily.
- Accomplishment Statement: - Reorganized office filing system and records into one clearly organized system so that office staff can easily and quickly find and file information needed for their work and their customers.
Employee Accomplishment Worksheet

For the transition year, the employee may complete this just prior to the Performance Review meeting between the supervisor and the employee. In subsequent years, the employee can add to the worksheet as the year progresses. (available on HR web site)

<table>
<thead>
<tr>
<th>EMPLOYEE ACCOMPLISHMENT WORKSHEET</th>
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<tbody>
<tr>
<td>Name</td>
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</table>

**Instructions:** The best way to track your progress is by keeping an ongoing record of your work accomplishments. This will help to ensure that Performance Reviews take into account all the things you have achieved for the period of the Performance Review. Be sure to provide not only a general description of what you did but also a brief explanation of the circumstances that may have made these accomplishments easier or more challenging. If you have specific information supporting your success, please provide that as well. See the [Performance Management Toolkit](#) for information on writing accomplishment statements.

<table>
<thead>
<tr>
<th>Description of Accomplishments</th>
<th>Date Completed</th>
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8. Recognizing Employees

OVERVIEW

One of the basic needs for managers and employees alike is to be appreciated. Appreciation can be shown by a simple “thank you,” specific feedback, or a variety of informal and formal rewards. Recognizing employees not only communicates to the employee that what she/he is doing is valued, but it also is the top motivator of employee performance.

While money is important to employees, what tends to motivate them to perform – and to perform at higher levels – is the thoughtful, personal kind of recognition that signifies true appreciation for a job well done. Numerous studies have confirmed this. The motivation is all the stronger if the form of recognition creates a story the employee can tell to family, friends and associates for years to come.15

According to Bob Nelson, author of 1001 Ways to Reward Employees, there are three types of employee recognition:

- Informal recognition and rewards – “spontaneous rewards and forms of recognition that can be implemented with minimal planning and effort by almost any manager”
- Awards for specific achievements and activities – rewards targeted to specific employee/team achievements or behaviors that are desired by an organization (such as cost-saving suggestions, exceptional customer service, and exceptional teaching)
- Formal awards – organization-initiated formal reward programs (such as years of service, specific award with certain criteria and selection by review committee, and contests)

Informal recognition and rewards are forms of recognition that are most under a manager or department’s control and can often be implemented with minimal planning, effort and cost. It is important that a manager recognize an employee’s performance when it meets or exceeds expectations or the employee’s performance has improved and one wants those improvements to continue. Therefore managers need to consider what is in their (or their department’s) span of control to do and what motivates that particular employee.

What works to motivate one employee may not always work to motivate another staff member. Thus having options and understanding what motivates your staff are helpful in best recognizing employees.

The Performance Management process provides the opportunity to provide recognition through ongoing positive feedback. But there are many other options for informal recognition and rewards. What follows is a list of different ways to motivate and recognize employees. We encourage supervisors and teams to collaborate and come up with more options.

In addition, the College will be initiating a cross campus task group this year to make recommendations to Human Resources and the President’s Cabinet on staff reward and recognition programs.
### EXAMPLES & POSSIBILITIES for RECOGNIZING & REWARDING EMPLOYEES

<table>
<thead>
<tr>
<th>Challenging work</th>
<th>Chance to travel</th>
</tr>
</thead>
<tbody>
<tr>
<td>Enjoyable assignments</td>
<td>Promotions</td>
</tr>
<tr>
<td>Sense of accomplishment</td>
<td>Cross training</td>
</tr>
<tr>
<td>Sense of feeling improvement</td>
<td>Prompt response to proposals, reports</td>
</tr>
<tr>
<td>Flexible schedule</td>
<td>Showing care and concern</td>
</tr>
<tr>
<td>Autonomy</td>
<td>Running interference to support team member work efforts</td>
</tr>
<tr>
<td>Control over job</td>
<td>Education benefits</td>
</tr>
<tr>
<td>Special projects, tasks</td>
<td>New equipment or tools</td>
</tr>
<tr>
<td>Chance to learn new things</td>
<td>Involvement in higher level meetings</td>
</tr>
<tr>
<td>Attendance at seminars, conferences</td>
<td>T-shirt, clothing</td>
</tr>
<tr>
<td>Involvement in decisions</td>
<td>Making presentations that give visibility</td>
</tr>
<tr>
<td>Choices of vacations, hours of work</td>
<td>Party to celebrate success</td>
</tr>
<tr>
<td>Representing company at special events, functions</td>
<td>Working with talented, caring people</td>
</tr>
<tr>
<td>Highlighting work accomplishments to upper management</td>
<td>Having ideas listened to</td>
</tr>
<tr>
<td>Publish production, results of group</td>
<td>Being asked for advice</td>
</tr>
<tr>
<td>Article in newsletter to recognize achievements</td>
<td>Being informed about changes before they happen</td>
</tr>
<tr>
<td>Job enrichment</td>
<td>Involvement in planning</td>
</tr>
<tr>
<td>Free lunch, dinner</td>
<td>Seeing one’s ideas or suggestions put into action</td>
</tr>
<tr>
<td>Candy, flowers</td>
<td>Chance to lead desirable project</td>
</tr>
<tr>
<td>Gift of appreciation</td>
<td>Group recreation or social activity</td>
</tr>
<tr>
<td>Trophy, plaque</td>
<td>Receiving mentoring</td>
</tr>
<tr>
<td>Public recognition</td>
<td>Chance to influence management decisions</td>
</tr>
<tr>
<td>Note of appreciation</td>
<td>Chance to create new ways or solutions to problems</td>
</tr>
<tr>
<td>Memo, letter of recognition (cc: File)</td>
<td>Conducting training</td>
</tr>
<tr>
<td>Positive feedback</td>
<td>Management responsiveness in helping to get problems resolved</td>
</tr>
<tr>
<td>Money or bonus</td>
<td>Being part of an outstanding team</td>
</tr>
<tr>
<td>Better, improved office</td>
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</table>
9. **Development and Improvement Plans**

**DEVELOPMENT PLAN**

**Overview**

The Development Plan is created to help an employee grow in their job or career. Usually, an employee is meeting expectations when they complete a development plan. But they may be taking on new assignments, have changes in job responsibilities or be seeking to advance in their career. A Development Plan can be created at any time in the year or it can be used to expand upon the “Professional Development Plan” section in the Performance Review.

*Effective Development Plans have certain components in common:*

- They focus on both strengths to leverage and areas to develop
- They include a variety of ways to learn
  - On-the job-opportunities, i.e., starting something new, coaching another person, special assignments, improving a process, representing manager at meetings
  - Learning from others
  - Suggested readings
  - Formal courses
  - Off-the-job opportunities, i.e., community or volunteer activities
  - Practicing new skills and getting specific feedback
  - Opportunities to reinforce new skills and learnings
- They address both development for the job and career aspirations
- They define skills/knowledge to be developed
- They include skills/knowledge needed immediately as well as in the future
- They set tangible developmental goals and expected outcomes
- They specify an action plan
- They provide for periodic review and accountability

*Development Plan – the Form*

The form is simple and contains the following components:

- Development Areas or Goals: What do you want to achieve, learn, do better or develop?
- Action Plans: Steps employee and supervisor plan to take to achieve development goals – with suggested target dates.
- Support Needed: What type of support do you need?
- Expected Outcomes: What will success look like?

To complete the form, respond to the above questions or statements and fill in the corresponding columns. Either the employee or the supervisor initiates doing a development plan. Together they discuss its components; then the form is completed and signed. Follow-up and checkpoints are important to ensuring success.

*See next pages for blank form and example of a Development Plan that has been completed.*
Development Plan

Complete this after your development discussion with your supervisor. It documents the agreements you and your supervisor have made about your development. Both of you should sign it and keep a copy to review at regular intervals.

<table>
<thead>
<tr>
<th>Employee:</th>
<th>Job Title:</th>
<th>Date:</th>
</tr>
</thead>
</table>

<table>
<thead>
<tr>
<th>Development Areas or Goals (What do you want to achieve, learn, do better or develop?)</th>
<th>Action Plans (Steps employee &amp; supervisor plan to take to achieve development goals, with suggested target dates.)</th>
<th>What type of support do you need?</th>
<th>Expected Outcomes (What will success look like?)</th>
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</table>

Employee’s Signature: ________________________________ Manager’s Signature: __________________________________

Next Check-in Meeting: ___________________________
# Development Plan

*Complete this after your development discussion with your supervisor. It documents the agreements you and your supervisor have made about your development. Both of you should sign it and keep a copy to review at regular intervals.*

**Employee:** Sue Job  
**Job Title:** Supervisor, Student Activities  
**Date:** June 29, 2004

<table>
<thead>
<tr>
<th>Development Areas or Goals (What do you want to achieve, learn, do better or develop?)</th>
<th>Action Plans (Steps employee &amp; supervisor plan to take to achieve development goals, with suggested target dates.)</th>
<th>What type of support do you need?</th>
<th>Expected Outcomes (What will success look like?)</th>
</tr>
</thead>
</table>
| Develop Group Facilitation Skills | • Take course on Group Facilitation Skills from ICA in August  
• Get coaching on facilitation from Training Manager  
• Co-facilitate focus group with Training Manager in September  
• Facilitates additional focus groups for department in Fall and as needed | • Funds for training costs  
• Coaching from Training Manager | Employee conducts focus groups to get feedback and recommendations on department’s processes |
| Learn Excel in order to create basic budget spreadsheets by 10/04 | • Take class on Excel – basic and intermediate – during August  
• Create sample budget spreadsheet for Project X – in September  
• Get coaching from financial analyst on Excel through September and then when needed  
• Create budget spread sheets for office budgets | • Funds for training costs  
• Supervisor support to take training  
• Coaching from financial analyst | Creation of budget spreadsheets for department projects & office budget |

**Employee’s Signature:**  
**Manager’s Signature:**

**Next Check-in Meeting:**
PLAN FOR IMPROVEMENT

Overview

The Plan for Improvement is available when an employee’s performance needs improvement because the employee is not meeting performance expectations. A Plan for Improvement, if deemed appropriate by the supervisor, should clarify the improvement needed and actions to take. Its goal is to help the employee meet the expectations of the position held.

Where there are ongoing concerns, the supervisor may discuss with the employee the issues of concern and coach the employee to improve his/her performance with a focus on specific solutions. The supervisor works with the employee to develop a Plan for Improvement and then follows up to review progress.

The Plan for Improvement is available when the overall performance rating on the Performance Review is “Needs Improvement,” but can also be used at any time performance is less than it should be.

Plan for Improvement—the Form

The form is simple and contains the following components:

- Goals—standards or level of improvement in performance that the employee is to achieve
- Action Plans—steps for the employee to take to improve performance with suggested checkpoints for discussion about the employee’s progress along the way
- Measurement—indicators that necessary improvement in performance has been achieved
- Support needed—e.g., what supervisor may do to help employee achieve the necessary performance level
- Follow-up—Appropriate times when employee and supervisor may meet to discuss process

See next pages for blank form and example of a Plan for Improvement that has been completed.
# Plan for Improvement

<table>
<thead>
<tr>
<th>Goals (Standards or level of improvement in performance employee is to achieve)</th>
<th>Action Plans (Steps for the employee to take to improve performance with suggested checkpoints.)</th>
<th>Measurement (How will you know improvement in performance has been achieved?)</th>
<th>Support Needed</th>
<th>Follow-up (When employee &amp; manager may meet to discuss progress)</th>
</tr>
</thead>
<tbody>
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</tbody>
</table>

Employee's Signature: _________________________  Supervisor's Signature: _________________________

Next Check-In Meeting:
Plan for Improvement

Employee: Sue Job  
Job Title: Administrative Assistant  
Date: September 7, 2004

<table>
<thead>
<tr>
<th><strong>Goals</strong> (Standards or level of improvement in performance that employee is to achieve)</th>
<th><strong>Action Plans</strong> (Steps for the employee to take to improve performance, with suggested checkpoints)</th>
<th><strong>Measurement</strong> (How will you know improvement in performance has been achieved?)</th>
<th><strong>Support Needed</strong></th>
<th><strong>Follow-up</strong> (When employee &amp; manager may meet to discuss progress)</th>
</tr>
</thead>
</table>
| Maintain all office files & records so that records are correctly filed alphabetically under correct heading and filed within 2 days of receipt on ongoing basis. | **October**  
- Create in/out record for files showing date file received and date filed  
- Determine plan of uninterrupted time per day so that all outstanding records are filed within 2 days of receipt  
- Expand file system to include records of all staff projects – user friendly for ease of use and in finding information as needed |  
- Goals reached by due dates  
- Survey of random sample of files that files contain correct records  
- No complaints from staff that files are missing or incorrectly filed | |  
|  | **November**  
- Ensure that all incoming files after mid November are filed correctly within two days of receipt  
- Create expanded file system to accommodate all staff projects | | |  

Employee’s Signature:  
Supervisor’s Signature:  
Next Check-In Meeting: 

Supervisor and employee meet weekly to check status
10. Appendix

DEFINITION OF TERMS

- **Accomplishment** – Positive or productive result, achievement, or impact of a solution on department or organization.
- **Coaching** – Set of management skills and efforts aimed at influencing employee performance to achieve positive and productive results; providing direction, guidance, and support to develop people to perform to their fullest or to improve performance.
- **Competencies** – Knowledge, skills, and/or behaviors that help individuals perform at a high level and that are critical for achieving an organization’s mission, values and goals.
- **Constructive feedback** – Information to person about something they have done or not done that is specific, based on evidence, and directed at the person’s performance, not the person; constructive feedback can be positive or negative.
- **DESC** – Acronym for script or format for giving negative feedback (Describe, Express, Specify, Consequences).
- **Development Plan** – Defines goals and actions for the growth and development of an employee.
- **EOY** – Acronym for End of Year Performance Review.
- **Goal** – A word that is often used interchangeably with the word “objective” to denote measurable and desired results, accomplishments or achievements of individual or team performance. In the Toolkit a goal is generally referring to a broader individual, department and organization priority while an objective further defines the broader goal by being specific and measurable.
- **“I” Statement** – Way of giving feedback where the person giving feedback takes responsibility for their feelings, actions, and concerns and focuses on an objective description of the other’s behavior, their own feelings, and the impact of the behavior on themselves.
- **Objective** – Measurable, desired and meaningful results, accomplishments, or achievements of individual or team performance.
- **Performance Expectations** – Behaviors that are defined as effective performance on one’s job – usually described as objectives or standards.
- **Performance Feedback** – Information to someone about an effort done, or not done, in his or her performance – usually delivered close in timing to the occurrence or pattern of behavior and intended to influence future behavior.
- **Performance Management** – A process of planning, coaching, review, feedback and evaluation about an employee’s performance; a successful process depends on manager-employee participation and cooperation.
- **Performance Management Cycle** – Outline of the components of the Performance Management process as they occur throughout the year.
- **Performance Review** – The end of the year or introductory appraisal of an employee’s performance that is based on mutually agreed upon performance expectations, two-way communication, and an assessment of an employee’s performance.
- **Plan for Improvement** – Defines the goals and actions for improving an employee’s performance.
- **Progress Review** – Discussion between the supervisor and employee about employee’s performance and progress, reassessment of performance expectations from the beginning of the performance cycle, barriers to effective performance, and support and resources needed by the employee – formalized by completion of the Progress Review form.
- **PSR** – Acronym for a methodology for reporting accomplishments and contributions by describing a problem an employee faced, the solution that he/she used, and the result in terms of value or impact for the organization or department.
- **S.M.A.R.T.** – Acronym for key elements of effective objectives (Smart, Measurable, Action-oriented, Results-focused, Time-focused).
- **Standard** – Expectation of behavior or level of performance that is to be achieved or maintained – usually around day-to-day performance
- **WASC** – Western Association of Schools and Colleges
SUPERVISOR CHECKLIST FOR ORIENTING NEW EMPLOYEE

A new employee is made to feel welcome and prepared for success at Saint Mary’s College from the day they first step onto the campus in search of employment. Hopefully, the process continues during the hiring procedure, new employee orientations and into the department orientation and training.

Before your new employee arrives, consider what the person requires to be successful, comfortable and safe in their new work environment.

The following is a checklist to assist the orientation process.

**Introductions**
- Co-workers
- Staff they will be interacting with outside the department
- E-mail to department and possibly organization announcing arrival date with brief bio and explanation of person’s role in department

**Tour**
- Department
- Restrooms
- Emergency exits
- Campus offices with which they will deal
- Other important locations (i.e., eating facilities, post office, bookstore, etc.)

**SMC New Employee Orientation and Benefits**
- Ensure that new employee receives staff handbook; review handbook with employee
- Ensure that new employee signs up for benefits within first month, and attends New Employee Orientation within first three months of employment

**Safety**
- Exits; fire extinguisher
- Obtaining assistance for medical, fire or other emergencies
- Emergency procedures, safety training

**Work Conditions**
- Equip work area with computer, telephone, telephone directory, supplies, etc.
- Describe hours of operation and employee work hours
- Explain timesheet processing, absence reporting, time off requests, lunch scheduling and rest periods

**Department procedures**
- Explain and/or provide copies of department procedures

**Job Responsibilities and Performance Expectations**
- Review job description, goals of department, assignments for employee, within the first week
- Within first month decide on objectives and standards; review progress and give feedback

**Training**
- Describe the plan for training the new employee and who will direct the training; adhere to the plan to the best of your ability
- Clarify the person to whom the new employee reports and directs their work activity; person(s) who can answer questions for them
- Demonstrate use of telephones, computers, copier, FAX
REFERENCES & RESOURCES/BIBLIOGRAPHY


Mount, Bryan, RARES, *Getting Started with Employee Recognition “101 Inexpensive Ways to Reward Employees.”* February 5, 2004

<http://www.rares.org/downloads/Getting%20Started%20with%20Employee%20Recognition.PDF>

Neal, James E. Jr., *Effective Phrases for Performance Appraisals*, Neal Publications, Perrysburg, Ohio, 2003


Videos

American Media, Inc. February 5, 2004 <http://www.ammedia.com>


______, *Embracing Criticism Video*

______, *Giving Feedback Video/Giving Feedback Kit*

______, *Something About Their Listening Video*

ENDNOTES

1 Adapted from SMC Leadership Development Program, Part 1, Module 2, Marty Brounstein
2 Adapted from material provided by Watson Wyatt Worldwide
3 Adapted from SMC Leadership Development Program, Part 1, Module 2, Marty Brounstein
4 Business & Legal Reports, Inc. Training Handbook, Handout 705, B-1
5 Business & Legal Reports, Inc. Training Handbook, Handout 405 B-1
6 Adapted from material provided by Watson Wyatt Worldwide
7 Adapted from SMC Leadership Development Program, Part 1, Module 2 of SMC Leadership Development Program, taught by Marty Brounstein
10 Adapted from material provided by Watson Wyatt Worldwide
12 Business & Legal Reports, Inc. Training Handbook, Handout 410, B-1
13 Adapted from *Effective Performance Planning*, a workshop offered by Santa Clara University, Human Resources, Organizational Learning and Development
14 Adapted from Business & Legal Reports, Inc. Training Handbook, Handout 515, B-1
16 Adapted from SMC Leadership Development Program, Part 1, Module 2, Marty Brounstein