Supervising for Success
Module 3

Presented by:
UAF Human Resources
Diversity and Equal Opportunity

Supervising for Success

Module 3
• Communication and Crucial Conversations
• Work Place Bullying
• Performance Management and Evaluations
• Professional Development and Employee Recognition
• Conflict Resolution and Mediation
• Progressive Discipline and Steps of Just Cause

Communication and Crucial Conversations
Effective Communication Strategies

- Active Listening
- Facilitating
- Questioning
- Using Discretion
- Directing

Listening
Know when to stop talking and start listening
- When emotions are high
- Team situation
- When employees are sharing ideas

Active Listening
- Listen with ears, eyes and mind
- Focus on what is being said vs. How you will respond
- Allow to finish/wait your turn
- Repeat back what you heard

Crucial Conversations
- Spot crucial conversation (opinions differ, emotions are strong, stakes are high)
- Start with the heart
- Learn to look
- Make it safe
- Master your story
- State your path
- Explore others’ path
- Move to action

Workplace Bullying, may be occurring when there is...

- Repeated, unreasonable actions of an individual (or a group)
- Directed towards, an employee (or a group of employees) resulting in:
  - intimidating, degrading, humiliating, or undermining behavior
  - the creation of a risk to the health or safety of employee(s)

Bullying May Occur:

- Supervisor to non-supervisor
- Co-worker to co-worker - Peers
- Group of employees to one - Mobbing
- Employee to student, customer, contractor

In the following ways:

- Verbal or in writing
- Repeated conduct/behaviors which are threatening, humiliating, or intimidating
Creating a Positive Environment

R04.02.020.C. Roles and Responsibilities

• The university administration is responsible for promoting a positive working and learning environment where all persons are free to discuss any problems or questions they may have concerning discrimination at the university, without fear of intimidation or reprisal.

• All university employees are responsible for maintaining a positive working and learning environment. Supervisors and faculty will promptly respond to complaints of discrimination to determine what, if any, remedial action may be warranted. In resolving these complaints, supervisors and faculty will seek advice and guidance from the affirmative action officer or advisors. University employees and students must cooperate fully with efforts to resolve complaints brought to their attention.

UA - Policy

P04.07.040. Corrective Action

A. Supervisors will apply necessary and appropriate corrective action whenever an employee fails to meet the required standards of conduct or performance. Corrective action may be necessary because of employment related problems, including but not limited to:

… Inability to work effectively with others, fighting on the job, acts endangering others, inappropriate behavior toward or harassment of others, or other misconduct.

Supervisor Responsibility

• DO NOT ignore the bullying complaint
• Address & resolve situations promptly
• Take claim seriously
• Listen without pre-judging
• Notify employee of appropriate UA contact
• Follow-up with appropriate UA contact
• Maintain confidentially regarding complaint - discuss only with those who have a need to know
• Make no promises or guarantees of any kind
• Follow up with employee
• Take the online workplace bullying awareness training: http://www.uaf.edu/ua/hr/training/
Performance Management and Evaluations

Employee Management

- What does it mean to manage your employees?
  - Planning
  - Organizing
  - Leading
  - Monitoring
  - Problem Solving

Your job is the performance manage your employees.
How is this done?
Performance Management

• What does it mean?
• Active management
  – Feedback
  – Coaching
  – Mentoring
  – Evaluations
  – Development
• AKA “Supervising”

Effective Feedback

• Provides both instruction and motivation
• Specific
• Direct feedback towards behavior not person
• Timely
• Descriptive
• Ongoing
• Delivered in appropriate setting

Performance Evaluations

• Written summary of employee’s performance
• Sample evaluation forms
• Techniques to evaluate
• Pitfalls to avoid
• Probationary period reviews
• Annual requirement
  – Accreditation
  – Regents policy
  – IT IS THE RIGHT THING TO DO
• Video
• Do at-will employees receive evaluations?
  – Student, Temporary, Probationary Employees
Professional Development and Employee Recognition

Professional Development

• Engage
• Encourage
• Support

Professional Development

• Tuition Waivers
  http://www.alaska.edu/benefits/tuition-waivers/
  – Submit via paper or DocuSign
• UAF Training Website
  http://www.uaf.edu/training/
• SW HR Training and Development
  http://www.alaska.edu/hrtraining/
• SkillSoft (access through UAOnline)
  https://uaonline.alaska.edu/
  – Competency Maps
  – Books 24/7
Employee Recognition

- In-grade salary adjustments R04.05.043.b(1)
  - Supervisors can reward employees for outstanding performance by requesting a step increase of up to five steps/percent in any 12 month period
  - In-grade memo sample:
    http://www.uaf.edu/uafhr/resources/

- Employee Recognition Chancellor’s Policy:
  http://www.uaf.edu/chancellor/policy/04.05.001/Employee-Recognition-04.05.001-07172009.pdf

- Putting people first is UAF’s goal

Employee Recognition

- Informal Recognition:
  - cash bonus of up to $500 and/or
  - non-cash awards such as up to 3 days of leave with pay

Examples:
- exemplary teamwork
- completion of a special project
- employee generated new or improved work procedures
- special effort under unique or difficult circumstances
- employee appreciation

- Formal Recognition:
  - cash bonus of up to $2,500 and/or
  - up to 5 days of leave with pay

Examples:
- May be the same as for informal recognition but
  - at a sustained level of performance
  - at a higher level of performance

- Formal programs:
  - employee of the month
  - employee of the year

Conflict Resolution
Group Definition

• Conflict is ...
• What is your definition?

Conflict Feels

When involved or witnessing a conflict, what feelings do you experience?

#1 Reason for Conflict

Caring

• The root cause of conflict is caring
• The more CARING, the greater the CONFLICT
Conflict is...

- A situation in which people’s concerns, the things they care about, appear to be incompatible
- Conflict can cause a strong negative emotional reaction which must be...
  - Surfaced
  - Acknowledged
  - Addressed
  - Resolved
  - ... in order for people in the organization to move ahead with their lives

Self Assessment

1. Complete the self assessment
2. Transfer your score to the score sheet
3. At the bottom, enter the total number of items circled in each column

Motivations

Assertive
The extent to which the individual attempts to satisfy his or her own concerns.

Cooperative
The extent to which the individual attempts to satisfy the other person’s concerns
Five Conflict Handling Modes

- Competing
- Collaborating
- Compromising
- Avoiding
- Accommodating

Unassertive Assertive

Uncooperative Cooperative

Cooperativeness

Reactions to Conflict

- Fight
- Flight
- Flow

Myths About Conflict

“The Magic of Conflict” by Thomas Crum

Myth 1: Conflict is negative

- Conflict is natural; neither positive nor negative, it just is
- It’s not whether you have conflict in your life. It’s what you do with that conflict that makes a difference
- Conflict is really an opportunity to grow
Myths About Conflict
“The Magic of Conflict” by Thomas Crum

Myth 2: Conflict = Contest

Winning and Losing
Life is a Big Scoreboard
• A gift of caring energy
• An opportunity to get curious, acknowledge, appreciate and learn
• A motivator
• How we deal with conflict reveals the depth of character

Power

• Constructive (goal-oriented, problem-solving)
  – Nurture: cherish, cultivate, foster, nourish
  – Integrative: harmonize, blend, unify, join together

• Destructive (criticism, defensiveness, stonewalling, contempt)
  – Exploit: To take unfair advantage of
  – Manipulate: To control or play by artful, unfair, or insidious means
  – Compete: To gain mastery or obtain a prize (fight, struggle, battle)

Quality Interactions

• Build Shared
  – Meaning
  – Purpose
  – Mission
  – Legacy
  – Culture
  – Values
Partnering

What are key elements or behaviors you have used or have seen used that were instrumental in positive conflict?

Dealing with Stress

“The Magic of Conflict”

• Don’t sweat the small stuff
• It’s all small stuff
• Since it usually doesn’t work to fight and it doesn’t usually work to flee, FLOW!!!
Definition

- Progressive discipline is a process by which supervisors communicate performance deficiencies to employees in an effort to correct the deficiency and maintain the employment relationship.
- What makes it progressive?

Why do things become so difficult?

- "No one told me what to do!"
  - No Expectations
  - Lack of Consistent Feedback
  - Lack of Accountability
  - X Months or Maybe Years

  = A difficult situation (aka a "difficult" employee)

- Exercise: Igor the Elf

Probationary Status

- R04.07.020
  - Employment during the probationary period is at-will

- Importance of this 6 month period
Process
Pre-Discipline:
– Convey expectations early and often; start at on-boarding stage
– Problem-solving and open dialog when performance issues arise

Discipline Steps:
– Verbal counseling
– Written warning
– Written reprimand - P04.07.41
– Performance improvement plan (PIP)
– Disciplinary probation - P04.07.044
– Suspension - P04.07.043
– Separation of employment

Pre-Discipline Supervisory Role
• Effective Hiring, Testing, Reference Checking
• Effective On-boarding, Mentoring
• Effective Performance Management:
  – Convey expectations
  – Train and mentor
  – Monitor
  – Feedback and evaluations
  – Correction
If the above efforts are unsuccessful, may have to impose progressive discipline

Pre-Discipline Management Action
• Problem solving session and open dialogue
  – Increase Understanding
  – Reduce Tension
  – Open, Two-Way Communication
  – Don’t Lecture
  – Employee comes up with solution/action plan
Verbal Counseling
- Discuss the problem
- Identify how to correct
- Ensure resources are available
- Document discussion
- Monitor improvement
- Follow-up

Written Warning and Written Expectations
- Get their attention
- Same message – just written down
- Establish a timeline
- Notice of next step
- Option to copy to employee’s personnel file

Written Reprimand
- P04.07.041
- First, Second, Third...
- Sit up and notice
- Stronger message
- More severe next step
- Copied to employee’s personnel file
Performance Improvement Plan (PIP)- Contact UAFHR

Gives an employee an opportunity to succeed while holding accountable for past performance

Steps:
1. Document performance issue
2. Develop an action plan/ SMART goals
3. Review/seek input
4. Present PIP to employee
5. Follow up
6. Conclusion or next step

Suspension and Disciplinary Probation

• First contact UAF Human Resources
• Consider the impact
• Make sure it is not a vacation
• What happens when they come back - notice of next step
• Last chance agreement
• Does NOT extend probationary period or at-will employment provision

How/What to Document

• Focus on behaviors
• Be specific/use examples
• Timing is important
• Relate to business necessity
• Document facts not inferences
Things to Consider

- Circumstances
  - New employee, supervisor, or task
  - Life events of employee
- Nature of Problem
  - Poor quality or quantity
  - Lack of skill/ability/willingness
  - Serious misconduct
- Employee’s Status
  - Probationary, union member, at-will, regular, term-funded
- Risks
- Likely Results
Characteristics of Effective Feedback

1. It is descriptive rather than evaluative. It is important to focus on what the individual did rather than to translate behavior into what he or she is. Thus we might say that a person “talked more than anyone else in the meeting” rather than that he is a “loudmouth.” Avoiding evaluative language reduces the need for the individual to respond defensively.

2. It is specific rather than general. To be told that one is “dominating” will probably not be as useful as to be told that “in the conversation that just took place, you did not appear to be listening to what others were saying, and I felt forced to accept your arguments.” Or, rather than saying “good job” after a student contribution, one might say, “Good job. Your argument was well-researched. I liked the way you integrated information from class discussions and readings with your own research.”

3. It is directed toward behavior that the receiver can do something about. Frustration is increased when a person is reminded of some shortcoming over which he has no control.

4. It is well-timed. In general, feedback is most useful at its earliest opportunity after the given behavior (depending, of course, on the person’s readiness to hear it, support available from others, etc.). The reception and use of feedback involves many possible emotional reactions. Excellent feedback presented at an “inappropriate time” may do more harm than good.

5. It involves the amount of information the receiver can use rather than the amount we would like to give. To overload people with feedback is to reduce the possibility that they may be able to use effectively what they receive.

6. It involves sharing of information rather than giving advice. By sharing information, we leave people free to decide for themselves, in accordance with their own goals and needs. When we give advice we tell them what to do, and to some degree take away their freedom to decide for themselves.

7. It is solicited rather than imposed. Feedback is most useful when receivers themselves have formulated the kinds of questions that those observing them can answer or when they actively seek feedback.

8. It takes into account the needs of both the receiver and giver of feedback. Feedback can be destructive when it serves only our needs and fails to consider the needs of the person on the receiving end. It should be given to help, not to hurt.

9. It concerns what is said and done and does not ask “why?”. The “why” takes us from the observable to the inferred and involves assumptions regarding motive or intent. It
is dangerous to assume that we know why a person says or does something, or what he or she "really" means or is "really" trying to accomplish.

10. It is checked to insure clear communication. One way to do this is to have the receiver try to paraphrase the feedback he or she has received to see if it corresponds to what the sender had in mind.

11. It is checked to determine degree of agreement from others. When feedback is given in the presence of other people, both giver and receiver have an opportunity to check with others in the group about the accuracy of the feedback. This validation is of value to both the sender and the receiver.

12. It is followed by attention to the consequences of the feedback. People who are giving feedback may greatly improve their helping skills by becoming acutely aware of the effects of their feedback. They can also be of continuing help to the recipient of the feedback.

13. It is an important step toward authenticity. Constructive feedback contributes to a relationship that is built on trust, honesty, and genuine concern. Such a relationship can open the door to personal learning and growth.

UNIVERSITY OF ALASKA PERFORMANCE EVALUATION FORM

All University of Alaska supervisors are required to complete an annual written performance evaluation per Board of Regents’ Policy 04.07.030. In addition, accreditation standards require that “administrators and staff are evaluated regularly with regard to performance of work duties and responsibilities.”

I. EMPLOYEE INFORMATION

<table>
<thead>
<tr>
<th>Employee Name (Last, First, MI)</th>
<th>Employee ID</th>
<th>Position Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Department/Campus</td>
<td>Supervisor Name</td>
<td>Review Date</td>
</tr>
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</table>


II. PERFORMANCE RATINGS

<table>
<thead>
<tr>
<th>Grade</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>E</td>
<td>Exceptional: Consistently exceeds performance expectations.</td>
</tr>
<tr>
<td>HE</td>
<td>Highly Effective: Consistently meets and at times exceeds performance expectations.</td>
</tr>
<tr>
<td>P</td>
<td>Proficient: Consistently meets performance expectations.</td>
</tr>
<tr>
<td>NI</td>
<td>Needs Improvement: Inconsistent performance; at times meets expectations and at times falls below expectations</td>
</tr>
<tr>
<td>II</td>
<td>Insufficient Information: May be used when employee is too new to evaluate, or if employee has been gone for an extended period of leave. Supervisor must explain an N/A</td>
</tr>
<tr>
<td>N/A</td>
<td>Not Applicable: May be used when a specific performance factor does not apply to the job.</td>
</tr>
</tbody>
</table>

III. INSTRUCTIONS

The employee’s position description is the supervisor’s reference for rating all of the duties and factors that appear in this document.

1. Review the performance evaluation format and the instructions below. Compile any department files or other relevant information (i.e., previous evaluations, supervisor file, position description, etc.).

2. When assessing each performance factor, consider only those aspects of the employee’s performance in the specific area being evaluated. For example, an employee can earn an "E" rating for "Job Knowledge", and a "NI" rating for attendance. You may consider all aspects of an employee’s performance in the overall performance rating. When evaluating attendance, do not consider time away from work that is protected by Federal or State Law (i.e., Family Medical Leave Act or Americans with Disabilities Act, etc.)

3. To assign an overall “NI” rating, documentation of a previous counseling session between the supervisor and employee must exist to support the rating, or a plan of action that has been discussed with the employee during the evaluation meeting (See Section VII below) must be attached to this evaluation.

4. Meet with employee to discuss evaluation contents and goals for the upcoming year.

5. Employee may make comments on the evaluation form within 30 days from date of evaluation meeting and/or on an additional sheet of paper. Employees may request a meeting with the second level supervisor regarding the evaluation contents.
6. Request the employee's signature to acknowledge that a copy of the completed evaluation has been received by the Employee. The signature indicates receipt of a copy, not agreement with contents of the evaluation. If an employee refuses to sign, note the refusal on the form and forward to Human Resources.

7. The supervisor must forward the original, performance evaluation and all attachments to Human Resources for review and inclusion in the official personnel file.

IV. RATE ESSENTIAL FUNCTIONS – COMPLETED FOR ALL EMPLOYEES.
Position description should be attached OR duties in the position description should be inserted below.

**Essential Functions**: These are the duties articulated in the position description (PD) of the employee during this evaluation period. You may attach a copy of the PD in lieu of inserting essential functions below.

**Comments**: Insert comments that illustrate reasons for the rating; discuss the results that the employee achieved in relation to essential functions. In the box to the right, rate the performance for each major area (E, HE, P, NI, II, N/A)

<table>
<thead>
<tr>
<th>Essential Function 1: (insert from PD)</th>
<th>Rating: ___</th>
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<tbody>
<tr>
<td>Comments:</td>
<td></td>
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<tr>
<th>Essential Function 2: (insert from PD)</th>
<th>Rating: ___</th>
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<td>Comments:</td>
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<tr>
<th>Essential Function 3: (insert from PD)</th>
<th>Rating: ___</th>
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<td>Comments:</td>
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<th>Essential Function 4: (insert from PD)</th>
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<th>Essential Function 5: (insert from PD)</th>
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<td>Comments:</td>
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<th>Essential Function 6: (insert from PD)</th>
<th>Rating: ___</th>
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<td>Comments:</td>
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**ATTACH ADDITIONAL SHEETS IF NEEDED.**

Revised 11/14/10
**POSITION DESCRIPTION REVIEW SECTION** - (Please check the appropriate box.)

- [ ] Employee Position description has been reviewed during this evaluation and no changes have been made to the Position description at this time.

- [ ] Employee Position description has been reviewed during this evaluation and modifications have been proposed to the position description and entered into UAKJobs. Position description will be processed through the appropriate channels and approvals.

**V. RATE OTHER PERFORMANCE FACTORS – COMPLETED FOR ALL EMPLOYEES**

Every employee should be rated on the performance factors below in addition to rating their specific position description duties in section V above. Please indicate if employee is too new to rate or if supervisor has insufficient information to rate.

<table>
<thead>
<tr>
<th><strong>Job Knowledge:</strong> Possesses and applies knowledge of current requirements, methods, techniques and skills. Understands how work relates to and affects internal/external areas.</th>
<th><strong>Rating:</strong> ___</th>
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<tr>
<td><strong>Comments:</strong></td>
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<tr>
<th><strong>Planning and Organization:</strong> Effectively sets objectives and priorities within area of responsibility; forecasts needs; identifies key tasks and sequential steps; manages time and resources efficiently; effectively handles the requirements of multiple or competing tasks.</th>
<th><strong>Rating:</strong> ___</th>
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<tr>
<td><strong>Comments:</strong></td>
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<tr>
<th><strong>Work Quality/Quantity:</strong> Rate quantity and quality of work produced. Consider timeliness, ability to follow directions, accuracy, attention to detail, follow-through, and thoroughness; completes assignments, meets commitments and deadlines.</th>
<th><strong>Rating:</strong> ___</th>
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<td><strong>Comments:</strong></td>
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<tr>
<th><strong>Problem Solving:</strong> Identifies, evaluates, and researches problems, and recommends solutions. Seeks input or assistance when appropriate.</th>
<th><strong>Rating:</strong> ___</th>
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<td><strong>Comments:</strong></td>
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<tr>
<th><strong>Communication:</strong> Effectively conveys information to others by written and verbal means, practices active listening. Builds effective relationships.</th>
<th><strong>Rating:</strong> ___</th>
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<tr>
<td><strong>Comments:</strong></td>
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<tr>
<th><strong>Decision Making:</strong> Consistently uses good judgment in gathering, analyzing and acting on relevant information in a timely manner.</th>
<th><strong>Rating:</strong> ___</th>
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<tr>
<td><strong>Comments:</strong></td>
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<tr>
<td>Attendance: Adheres to work schedule; attendance is punctual and consistent.</td>
<td>Rating: ___</td>
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<tr>
<td>Comments:</td>
<td></td>
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</table>

| Adaptability: Flexible under changing conditions (new people, ideas, tasks, priorities, etc.). Anticipates and prepares for change. | Rating: ___ |
| Comments: | |

| Safety and Risk Management: Applies proper analysis and takes action to mitigate or where appropriate eliminate undue risk or contingent liability. Observes safety rules and safe work habits. Identifies safety problems to appropriate staff. | Rating: ___ |
| Comments: | |

| Initiative: Completes assignments and takes constructive action without prompting. Seeks challenging assignments, self-development, and learning opportunities. | Rating: ___ |
| Comments: | |

VI. **Rate Leadership/Supervisory Performance Factors – COMPLETED FOR SUPERVISORY EMPLOYEES ONLY** – (Does not include lead positions)

The factors below should be rated only if the employee holds a supervisory position. Evaluators are encouraged to seek feedback from subordinate employees when rating the below supervisory factors. Delete this section if it does not apply to the employee.

| Leadership: Directs, motivates and appropriately influences others to achieve the relevant mission; serves as credible role model, displaying and instilling a positive attitude; sets high standards for self, group and others; builds a strong sense of teamwork, purpose and group identity; encourages subordinate input and participation; makes effective decisions and exercises discretion consistent with relevant policy, regulation, unit responsibilities and goals; ability to facilitate necessary change. | Rating: ___ |
| Comments: | |

| Employee Management: Effectively delegates work and responsibility to appropriate staff, clearly communicates goals and expectations; ensures staff are kept informed of relevant information, engages in two-way communication; effectively handles personnel issues; recognizes the achievements of others; routinely provides constructive and on-going feedback on job performance; completes annual performance appraisals in a timely manner; applies policies and procedures equitably to staff. | Rating: ___ |
| Comments: | |

<p>| Training &amp; Development: Identifies training needs, provides educational/training opportunities to ensure employee success; develops capabilities of staff. | Rating: ___ |
| Comments: | |</p>
<table>
<thead>
<tr>
<th><strong>Resource/Budget Management:</strong> Ensures that University resources are used consistent with cost versus benefit considerations; seeks, identifies and acts on opportunities for cost efficiency; routinely analyzes work activities for efficiency and effectiveness; achieves desired results within constraints.</th>
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<tr>
<td><strong>Comments:</strong></td>
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<tr>
<td><strong>Rating:</strong> ___</td>
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<tr>
<th><strong>Application of Policy &amp; Procedure:</strong> Employee demonstrates knowledge of relevant policies, regulations and procedures and enforces consistent application within the department.</th>
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<td><strong>Comments:</strong></td>
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<td><strong>Rating:</strong> ___</td>
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<tr>
<th><strong>University &amp; Community Relations:</strong> Effectively coordinates and works cooperatively within the University community and where relevant with external agencies and community organizations.</th>
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<td><strong>Comments:</strong></td>
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<tr>
<td><strong>Rating:</strong> ___</td>
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**VII. ACTION PLAN/TRAINING, DEVELOPMENT, IMPROVEMENT GOALS:**

Summarize any specific projects, performance objectives, or training and development plans for the next evaluation period. **Must be completed for all NI ratings (see Instructions, Section III, Paragraph 3 above)**

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**VIII. SIGNATURES/APPROVALS**

 Supervisor Signature: ________________________________ Date: ____________

**Employee Review:** The contents of this form have been reviewed with me. I understand whether or not I agree with this evaluation I may enter my opinions here or on an attached sheet of paper delivered to HR within 30 days from the date of my evaluation meeting. I understand that I have the right to discuss this evaluation with a Human Resources representative and/or to discuss this evaluation with the second level supervisor.

 Employee Signature: ________________________________ Date: ____________

**Employee Comments:** (use back or attach additional sheet(s), if necessary)

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Human Resources Reviewer Name: __________________________ Signature: __________________________ Date: ____________

Revised 11/14/10
STAFF PERFORMANCE APPRAISAL

TYPE OF APPRAISAL: ☐ ANNUAL ☐ SPECIAL
DATE:
EMPLOYEE: JOB TITLE:
SUPERVISOR: DEPARTMENT:

Rating Scale:

EXCEPTIONAL
Exceeds the competency standard and performs essential function or responsibility in a noteworthy manner

SATISFACTORY
Competently performs the essential function or responsibility

NEEDS IMPROVEMENT
Performance does not entirely meet competency standard

UNSATISFACTORY
Fails to meet competency standard

ESSENTIAL FUNCTION 1:
RATING:
COMMENTS:

ESSENTIAL FUNCTION 2:
RATING:
COMMENTS:

ESSENTIAL FUNCTION 3:
RATING:
COMMENTS:

ESSENTIAL FUNCTION 4:
ESSENTIAL FUNCTION 5:

RATING:

COMMENTS:

ESSENTIAL FUNCTION 6:

RATING:

COMMENTS:

ESSENTIAL FUNCTION 7:

RATING:

COMMENTS:

ESSENTIAL FUNCTION 8:

RATING:

COMMENTS:

AREAS NEEDING MOST IMPROVEMENT:

AREAS OF GREATEST ACHIEVEMENT:

DEVELOPMENTAL GOAL(S):
INTERPERSONAL SKILLS RATING:

COMMENTS:

OVERALL RATING:

__________________________________________  DATE:________
SIGNATURE OF SUPERVISOR

__________________________________________  DATE:________
* SIGNATURE OF EMPLOYEE

* SIGNATURE ACKNOWLEDGES RECEIPT BUT DOES NOT IMPLY AGREEMENT WITH COMMENTS.

__________________________________________  DATE:________
SIGNATURE OF SECOND LINE SUPERVISOR

EMPLOYEE COMMENTS:

ORIGINAL: OFFICIAL PERSONNEL FILE/ UAF HR
CC: SUPERVISOR AND EMPLOYEE
Exercise #1 - Santa counsels “Igor the Elf”

Igor was one of the original elves here at the Pole when we started this business. I was new to the job – anxious to make my mark on the world and expecting that each employee would perform well… and that I would be liked by everyone, all the time. I wanted things nice. I liked nice. When he started, Igor was just that – nice. But things slowly began to change. I noticed that Igor would occasionally start his shift a few minutes late and take longer than scheduled breaks and lunches. My response was NO response – which I rationalized with “I’ll let it slide because he does good work,” and “It’s no real problem right now. But if it becomes one, you can bet I’ll act.” Both of those were code phrases for what I realized deep inside: “I don’t have the courage to do what I know needs to be done.” So I overlooked Igor’s tardiness – hoping that it would magically go away on its own. Of course, it didn’t…it continued. Then, instead of dealing with Igor one-on-one, I chose to send out a memo to the entire workshop staff reminding everyone of the importance of being on time. I hoped Igor would read it, get the message, and correct the problem without my involvement. Of course, he didn’t. And all the other elves were left wondering why I sent a reminder about something they already knew and were abiding by.

As the problem continued, I looked for every excuse to avoid a confrontation. But the issue came to a head when one of the other elves approached me and asked, “When are you going to do something about Igor? His being late all the time is really unfair to the rest of us.” The elf was right. I knew I had to do something, and I was furious that Igor had put me in this position. So I called him into my office and unloaded on him. We were both angry and the tension was high. Then HE asked a question that shut me up faster than a raised eyebrow from Mrs. Claus: “If this issue is so important, why didn’t you say something to me sooner?” There was no good answer to offer, only excuses – the same type of excuses I wouldn’t accept from others. I had been unfair to the other elves… and to Igor as well. I’d seen something I didn’t like – something I knew was wrong – and I had failed to do anything about it. I was as much to blame for Igor’s continuing problem as he was … and I knew it. I swore, then and there, never to let that happen again. And I haven’t. Now I deal with performance problems early and calmly – before they get big.

Santa made four big mistakes here. What were they?

1) ______________________________________________________

2) ______________________________________________________

3) ______________________________________________________

4) ______________________________________________________

Moral of the story – Confront performance problems early.
SUPERVISORS MAY NOT ISSUE A PERFORMANCE IMPROVEMENT PLAN WITHOUT HR REVIEW

TO:

FROM:

DATE:

SUBJECT: Performance Improvement Plan

The purpose of this memo is to identify steps you must take to improve your performance as a [Job Title] to meet the expectations for this position. The University values you as an employee, and it is our intent to make you fully aware of this situation and to assist you in improving your work performance. However, it is important that you realize the responsibility to improve is yours alone.

On [list all dates of meetings; the supervisor should have backup documentation of topics discussed at all meetings, either confirming e-mails to the employee or supervisor notes] we discussed your (performance and/or behavior) (see attachments—attach confirming e-mails (not supervisor notes) previously sent to the employee). To date there has not been acceptable improvement. Because your performance remains below standards, you are being placed on a written performance improvement plan. For the next (#) days, (dates), your leadership team will closely monitor your work. You must demonstrate immediate improvement in the following areas:

List the areas for improvement, objectives and specific deadlines. Objectives should be specific, measureable, achievable, relevant to position or department needs, and time oriented. The format is:

TO: (action to be taken) example: “improve your Excel capabilities” or “to improve your attendance record”

SO THAT: (desired results) example: “you can complete the required budget reports accurately and on-time” or “our department has adequate reception coverage”

YOU MUST: (identify a specific action the employee must take) example: “you must complete Excel training at OIT” or “you must be present and ready to work by 8:00 a.m.”

BY: (Date) [give a reasonable time frame for the training or the improvement] example: “Excel training by November and your next management report must be on-time and accurate” or “for the next six months”

STANDARD: (Measurement of results) example: “whether Excel training is completed and your Excel skills show improvement such that your management report is done on time and accurately” or “you are not tardy to work for the next six months”
I will review your progress on each of the above items requiring improvement every week. The University must see measurable improvement in your work performance. Please discuss any questions with me if you are unclear about the requirements and deadlines of this improvement plan; to the extent you provide alternate ideas or suggestions for improvement I will consider those suggestions for viability. (The employee may need some time to think about this; the supervisor should indicate a time to meet in the next 24-48 hours to hear the employee suggestions; supervisor should be willing to revise the plan based on viable employee suggestions)

Improvement must occur immediately and must be maintained for the long term. If any portion of this improvement plan is violated at any time during the specified timeframe, disciplinary action up to and including termination may occur. A decrease in performance after successfully completing the improvement plan may result in further disciplinary action up to and including termination without the issuance of another warning, reprimand, or improvement plan.

Your signature acknowledges receipt of this document and our discussion. Please let me know if you have any questions or concerns regarding the plan above.

__________________________
Employee Signature

__________________________
Supervisor Signature

Cc: Personnel File
SEVEN STEPS OF JUST CAUSE

1) Did the employer give to the employee forewarning or foreknowledge of the possible or probably disciplinary consequences of the employees conduct?

2) Was the employee's rule or managerial order reasonably related to (a) the orderly, efficient, and safe operation of the employer's business and (b) the performance that the employer might properly expect of the employee?

3) Did the employer, before administering discipline to an employee, make an effort (investigate) to discover whether the employee did in fact violate or disobey a rule or order of management?

4) Was the employer's investigation conducted fairly and objectively?

5) At the investigation did the "judge" obtain substantial evidence or proof that the employee was guilty as charged?

6) Has the employer applied its rules, order and penalties evenhandedly and without discrimination to all employees?

7) Was the degree of discipline administered by the employer in a particular case reasonably related to (a) the seriousness of the employee's proven offense and (b) the record of the employee in his service with the employer?