

# Preparing for the Annual Performance Summary at Middlebury

Hand outs for the  
Audio Slideshow Workshop

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## Supporting Documents

- APS Form
- APS Performance Designations Worksheet
- APS Performance Expectations Worksheet
- Example - APS Performance Expectations Worksheet

[Link to Middlebury forms](#)

[Link to MIIS forms](#)

## Workshop Overview

- Supporting Documentation
- Annual Performance Summary process
- Performance Management
- Tools for Support
- Resources

## Overall Process

January – March

- Complete APS & create development goals

May

- Board of Trustees votes on funds available for pay increases

June

- Letters mailed to staff indicating pay increase based on the APS

July

- Pay increases

## Annual Performance Summary

- A part of performance management cycle
- Culmination of the year
- Reflects the prior 12 months
- Starts plans for the next year

### Annual Performance Summary

**Staff Member to Complete:** [Staff member name here]

*Please briefly answer the following questions focusing on your **work accomplishments and interpersonal effectiveness (job performance)** over the past 12 months. To help ensure a consistent standard of assessment across the College, please do not alter the content of this form. Please feel free to include attachments behind this form such as a customized assessment from your area that contributes to the overall assessment.*

1. **With regard to your work accomplishments and interpersonal effectiveness, what has gone well this year?** *[If you are a manager or supervisor, include working with direct reports and key stakeholders on communication, working relationships, workload prioritization, and performance management.]*
2. **With regard to your work accomplishments and interpersonal effectiveness, what could you have done to be more effective?** *[If you are a manager or supervisor, include working with direct reports and key stakeholders on communication, working relationships, workload prioritization, and performance management.]*
3. **What are your goals for the coming year? Align goals with departmental and institutional mission and needs.** *[If you are a manager or supervisor, include at least one goal toward improving working with direct reports and/or key stakeholders on communication, working relationships, workload prioritization, or performance management.]*
4. **What help can your supervisor provide to support you in achieving your goals in the coming year?**

**Summary:** (please check one) [Staff member name here]

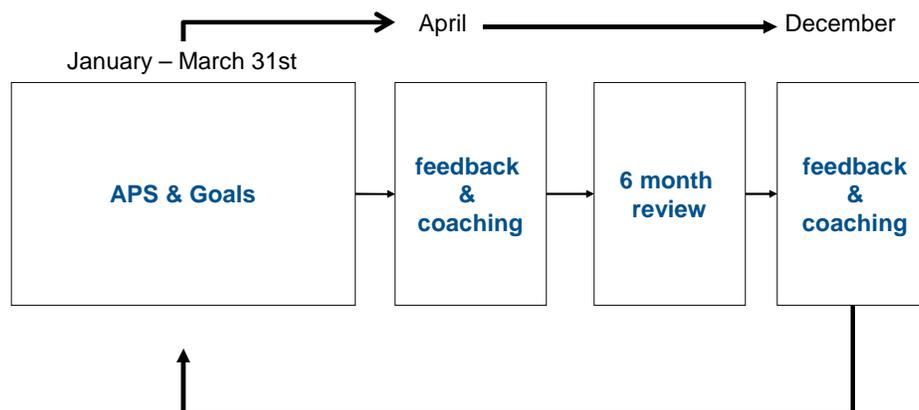
- Exceeded job performance expectations**  
Achieved job performance expectations **and** significant accomplishment(s) with respect to work or interpersonal results. (*\*Approval required prior to APS meeting, see below.*)
- Achieved job performance expectations**  
Effective performance with regard to work results and interpersonal effectiveness.
- Approached job performance expectations**  
Effective performance in some but not all areas with regard to work results and/or interpersonal effectiveness.
- Significant improvement in job performance required**  
Performance was not effective with regard to work results and/or interpersonal effectiveness.

Approval: (required for "Exceeded job performance expectations")

\_\_\_\_\_  
"Approver" Signature

\_\_\_\_\_  
Date

## Performance Management Cycle



## The Manager's Role

- Set clear expectations
- Acknowledge good work (5:1)
- Redirect poor work (1:5)
- Keep a working file
- Meet throughout the year

## The Individual's Role

- Ask what is expected
- Seek feedback
- Keep your own notes
- Seek time with your supervisor over the year

## When to Set Clear Expectations

- Outset of a major project
- Change in roles and responsibilities
- Annual Performance Summary
- 6 month review
- When you see that expectations are not being met!

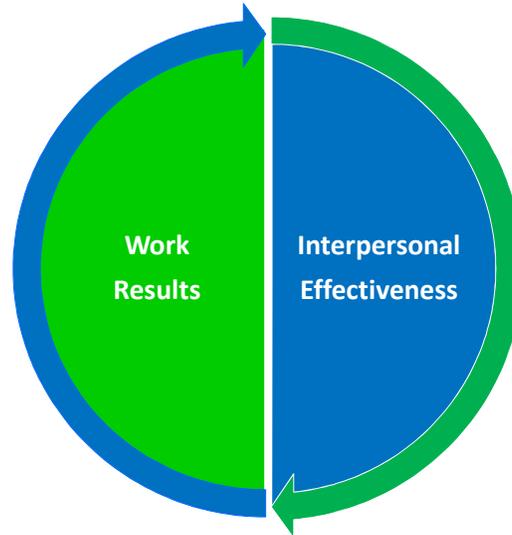
[Use the Performance Expectations Guide](#)

## When to Seek Clear Expectations

- New task or project
- Change in roles and responsibilities
- Annual Performance Summary
- 6 month review
- When you realize that things aren't clear!

[Use the Performance Expectations Guide](#)

# Set Expectations for the Whole Job



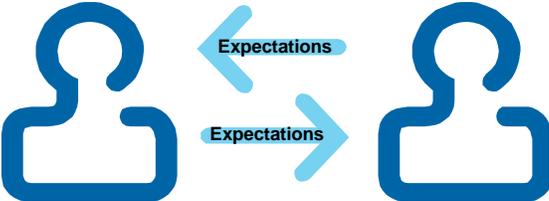
**Job Performance Expectations for: [fill in position]**  
*(The Whole Job = Effective Work results + Interpersonal effectiveness)*

Work Results	Interpersonal Effectiveness
<p><i>List specific expectations:</i></p>          <p><i>List additional expectations if this position includes Manager/Supervisor responsibilities:</i></p>	<p><i>List specific expectations:</i></p>          <p><i>List additional expectations if this position includes Manager/Supervisor responsibilities:</i></p>
<p><b>Recommended use of this tool:</b> Before you start the APS process, fill in both columns for each position that you are assessing. Explain the tool to each staff member and ask them to fill in what they think should be in each column. Meet, discuss, get input, and settle on expectations for effective work &amp; interpersonal effectiveness. You can also discuss and revise as needed at the start of the new year, when setting goals, and at the 6-month Informal review. It can be a great reference for your one on ones, and starting point for providing affirming &amp; redirecting feedback.</p> <p><small>*This is a tool to help the managers hone in on performance designations, clarify expectations going forward, and inform goal setting for the next cycle. Use to replace ongoing conversations, data collection, the APS narrative or APS summary conversation.</small></p>	

Work Results	Interpersonal Effectiveness
<p><b>List specific expectations:</b></p> <p>Example: (Timeliness)</p> <p>“Provide budget updates as scheduled so department managers can plan and adjust for the next month’s expenditures.”</p>	<p><b>List specific expectations:</b></p> <p>Example: (Listening)</p> <p>“Listen to understand and clarify requests, concerns or problems to help ensure that we are providing the right service or solution the first time.”</p>

## Performance Expectations Guide

- First step
  - Each fill it in
  - Meet and compare notes
  - Agree on the baseline for “Achieved Expectations”
  - Then each start the APS process



## “What do I have to do to exceed expectations?”

### Advice for Individuals:

- Be open to the conversation and be prepared
- It begins with first achieving work and interpersonal results
- What does exceeding expectations mean to you?
- What do you think it looks like?

### Advice for Managers

- Be open the conversation and be prepared
  - “Let’s talk about it...”
  - “It begins with first achieving work and interpersonal results, which is a great accomplishment - we can talk about how you are doing”
  - “Mostly we have to get routine work done, so what can really make you stand out is how well you work with others...(talk about specific behaviors)”
  - “Sometimes there are projects or opportunities to take on, we can talk about that”
  - “Would you like to set some goals to support what you want to do?”
  - “What does exceeding expectations mean to you? What do you think it looks like?”

## APS Steps for Manager's

- Evaluate each staff position
- Complete, sign and submit to HR by March 31<sup>st</sup>
- Evaluate based on the *prior* 12 months (past)
- Include any additional goals for *next* year (future)
- Schedule 6 month informal performance summary
- Commit to provide ongoing feedback

## APS Components

- Summary of the past
  - Success
  - Room for improvement
- Continued or new goals for the future
- Ongoing Support

\* Each one of these includes work results and interpersonal effectiveness

## Prepare for the APS

- Set a schedule
- Prepare your staff members
- Collect data
- Evaluate the data
- Write the summary
- Meet
- Follow up

## Reverse Engineer the steps

1. Set APS meeting date with your staff member
2. Set date to provide completed review to your staff member
3. Set due date for when your staff member's self assessment
4. Start your part

## Collect Data from Various Sources

- Job description
- Reports or metrics
- Last review
- Behavioral observations
- Critical Incidents
- Working notes
- Their self appraisal
- Input from others

## Evaluate the Data

- Identify key themes
- Review performance expectations
- List representative examples of performance

## Common Pitfalls

- Horns or halo
- Similar to me, different from me
- Recent events

## Individual Preparation

- Connect with your manager about the process
  - When is your self appraisal due?
  - Is hand written okay?
  - When is the summary meeting?
  - Will you get an advanced copy of the summary?
- Schedule time to write your appraisal
- If you need help
  - Ask your supervisor or HR

## Writing Your APS Self Appraisal

- Collect information about your performance
- Evaluate the information
- Write the summary
- This is a form of reporting (work product)

## Collect Information

- Job description (essential functions)
- Reports or summaries you provide
- Last review
- Notes & emails
- Input from others
- Significant events (check your calendar)

## Evaluate the Information

- Begin with the end in mind
  - What are the key things you want to focus on?
  - Include work results & interpersonal effectiveness
- Avoid only focusing on recent events

## Write

- It is a summary
  - It supports a conversation
  - Attachments for more detail are fine
  - Have your back up data handy
- Be clear and concise
  - Use representative examples

## The SEER Writing Method



- Summarize
- Elaborate
- Example
- Restate

“Joe is outstanding at handling difficult calls. He remains calm listens to concerns and comes up with effective solutions. Joe saved us from losing one of our biggest customers when he resolved the delivery issue on the Cosmo project. He’s the go to person when it comes to showing new team members how to handle tough calls”

## Bullets or keep it short?

### Summary Example Method

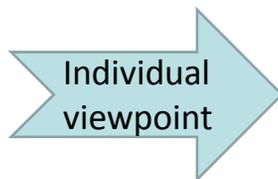
- Two sentences
  - Summarize the behavior or performance
  - Give an example

• Joe is consistently effective with difficult calls. He saved the Cosmo project by staying calm, listening and providing a solution that worked for our customer.

## Decide on a Performance Designation

	<b>Significant improvement required</b> Performance was not effective with regard to work results &/or interpersonal effectiveness	<b>Approached job performance expectations</b> Effective performance in some but not all areas with regard to work results &/or interpersonal effectiveness	<b>Achieved job performance expectations</b> Effective performance with regard to work results & interpersonal effectiveness	<b>Exceeded job performance expectations:</b> <i>Achieved job performance expectations <b>and</b> significant accomplishment(s) with respect to work or interpersonal results</i>
<b>Work Results</b>				
<b>Interpersonal Effectiveness</b>				

## The SEER Writing Method



- Summarize
- Elaborate
- Example
- Restate

“One of my strengths is handling difficult calls. I have been told that I remain calm, listen to concerns, and come up with good solutions. One of our biggest customers was ready to leave us, but they stayed after I was able to resolve the delivery issue on the Cosmo project. I feel that my ability to understand and solve problems has helped improve our service.”

## Bullets or keep it short?

### Summary Example Method

- Two sentences
  - Summarize the behavior or performance
  - Give an example
- I have been effective with difficult calls. I was able to solve the Cosmo problem by staying calm, listening and providing a solution that worked for our customer.
- I have trained three new team members on how to handle tough calls and their results have been positive

## Shorter?

What did you do? Why does it matter?

- I am good at solving customers problems so they stay
- Trained 3 new staff on “tough calls” for better service

## The Meeting - Manager

- Provide the complete summary prior to the meeting
- The meeting should be a no surprises conversation
- Step into the person's style or needs
- Briefly share your view
- Ask for their view
- Plan some open ended questions
- Answer questions
- Discuss next steps
- Show appreciation
- Check in soon after

## The Meeting - Individual

- Come prepared to talk as well as listen
  - What were some highlights of your year?
  - What do you like or appreciate most about your work?
  - What do you want to continue into the new year?
  - What do you want to change or improve?
- It's about your job performance
- Listen and be open to feedback
- If feedback comes as a surprise, discuss why that is and how it can be more timely and effective
- It is ok to add comments to the form

## After the meeting

- Keep a copy of your Annual Performance Summary
- Review your upcoming goals
- Seek support if needed
- Set up a system that works for you to track your goals and performance for the next cycle
- Seek feedback
- Ask for the 6 month informal review to be scheduled

## My Individual Checklist

- Save or print form
- Get copy of job description
- List of my questions
- Connect with my Supervisor
  - What are the key expectations for my performance?
  - When is my self assessment due?
  - When can I work on it?
  - Is hand written okay?
  - What if I have questions as I go along?
  - When is our summary meeting?
  - What do I need to do to prepare for the meeting?
  - When will I get the final copy of my APS?

## Performance Expectations & Assessment Guide

- Take the step now - don't wait
- Use it now, start of the year, 6 month check in
  - Each Fill it in
  - Review & revise together
  - Agree on the baseline for “Achieved Expectations”



## Resources

### Contacts

- |                    |              |  |
|--------------------|--------------|--|
| • Laura Carotenuto | 802-443-2012 | <a href="mailto:lcaroten@middlebury.edu">lcaroten@middlebury.edu</a> |
| • Michael Ulibarri | 831-647-6404 | <a href="mailto:mulibarr@miis.edu">mulibarr@miis.edu</a>             |
| • HR Helpline      | 802-443-5465 | Listen for the APS help prompt                                       |

### Links\*

[Midd APS](#)

[MIIS APS](#)

**\*includes all forms and resources such as:**

- APS forms
- Expectations & Designation Worksheets
- SMART GOAL Guide
- Coaching Guide