

Tips for Filling out the Performance Planning and Appraisal Form (PPAF):

The form used in the Performance Planning and Performance Appraisal processes is entitled the “Performance Planning and Appraisal Form” (PPAF). There is a form for supervisory/managerial positions and another for non-supervisory positions; both forms are available on AUB HR website.

Evaluation Period:

The annual performance evaluation/review period is normally from July 1 to June 30.

When the supervisor evaluates the performance of an employee who has transferred to the concerned department a few months prior to the end of the review period, the evaluation period would be from the date of transfer of the employee to June 30.

When the supervisor evaluates the performance of a new employee who has been in service for less than three months, the evaluation period would be the probationary period.

Job Summary & Scope:

A short paragraph describing the basic function, and summarizing the job-related functions. It provides an overall picture of the job and gives the primary reason for its existence.

Employee’s and Supervisor’s Agreement:

The current Performance Planning and Performance Appraisal processes are based on mutual understanding and agreement between the supervisor and the employee on the performance plan (i.e. critical functions and accountabilities that the employee is expected to fulfill during the review period, performance standards/outcomes, and relative weights). What is important is reaching first this joint/mutual understanding and agreement on the performance plan, and second the exact wording or format of the plan. After developing the performance plan, both the supervisor and the employee sign the form.

Critical Functions and Accountabilities:

In outlining the critical functions and accountabilities, the following should be considered:

- Use outcome/results-oriented active sentences
- Use action verbs to start sentences
- Describe about 8-10 critical functions or accountabilities
- List functions or accountabilities in a logical sequence, i.e. importance/priority, frequency, etc., designated by letters of the alphabet

- Group related tasks under one main critical function or accountability
- Be brief, concise, and precise
- Avoid vague generalizations and vague terms such as assists or handles
- Use quantitative terms whenever possible
- Give an accurate and complete picture of the job as one entity

Service Excellence is a built-in critical function and accountability that is common to all positions and expected of all employees of the University. As specified in the form, it consists of the following six components: Customer service, teamwork, communication, safety, housekeeping, and attendance.

Expected Performance Standards/Outcomes:

After listing the critical functions and accountabilities, the supervisor should establish performance standards and outcomes for each critical function or accountability.

These are clear statements of conditions defining anticipated results. They are units of measurement that enable the supervisor to accurately and objectively measure the employee's performance level for each function and significant tasks under it. They are the benchmarks against which employee performance is appraised.

Whenever possible, performance standards should be developed in collaboration with the respective employees in order to promote a higher level of understanding and agreement. In developing performance standards/outcomes, the following should be considered:

- What determines acceptable and unacceptable performance?
- What determines when the employee is meeting, exceeding or performing below the expectations of his/her position?
- How well should each function, or even task, be performed in order to meet or exceed expectations?
- Who are the recipients of the department/unit's services/products? What levels of quality and/or quantity of work are required to satisfy their needs? What are the defined time frames?

In writing/expressing performance standards, use units of measurement:

- Quality: How well the job is done (accuracy, completeness, etc.)
- Quantity: How much is done (productivity)
- Timeliness: How fast/when it is done (time frames & deadlines)
- Manner: The way it is done
- Method: The policy or procedure followed
- Cost: The dollar, manpower, or staff time required

Written performance standards should be reviewed to ensure that they are:

- objective, i.e. written for the position and not the job incumbent

- consistent with the employee's job requirements and overall departmental goals
- realistic, i.e. attainable within the given resources and the specified review period
- measurable (or based on measurable or verifiable information)
- clear
- specific
- understandable

Relative Weight:

After listing the critical functions and accountabilities and developing performance standards and outcomes for each, the supervisor should *attribute a relative weight to each critical function and accountability to define its relative importance*. Critical functions and accountabilities of higher importance/priority should evidently be given higher weights than the ones of lower importance/priority.

The relative weight for each critical function and accountability should normally range between 5% and 20%.

The relative weights for all critical functions and accountabilities, including service excellence, should total 100%.

Score:

The current Performance Appraisal process uses the following five-point rating scale:

5 = Outstanding

4 = Exceeds Expectations

3 = Meets Expectations

2 = Below Expectations

1 = Poor Performance

5 = Outstanding: Employee performed the critical job functions and accountabilities with outstanding skill and knowledge. Performance at this level clearly and consistently exceeds the goals and expectations in all aspects of the job.

4 = Exceeds Expectations: Employee's performance consistently exceeded the performance expectations agreed upon in the performance plan, in most aspects of the job.

3 = Meets Expectations: Employee's performance consistently met the performance expectations, as specified/set in the performance plan. The employee is operating at the fully acceptable level of performance for the position.

2 = Below Expectations: Employee's performance was consistently below the performance expectations, as specified in the performance plan.

1 = Poor Performance: Employee's performance was consistently poor. Remedial action is to be considered.

In the score column of the PPAF, a score between 1 and 5 (inclusive) should be inserted, next to each critical function and accountability; this score reflects most accurately the employee's accomplishment in performing that critical function and accountability.

In appraising performance, use absolute judgment (i.e. make judgments about employee's performance based solely on performance standards).

Weighted Score:

Once the relative weight and the rating/score are assigned for each critical function and accountability, the weighted score will be automatically calculated as per a built-in formula.

Supervisory/Managerial Criteria:

This section is found in the PPAF pertaining to supervisory/managerial personnel, and hence should be completed for employees in supervisory/managerial jobs only. As specified in the form, it consists of the following five components: Administrative Issues, Staff Management, Staff Development, Business Management, and Change Management.

The expected standards for each of these supervisory/managerial criteria are already defined in the form.

A relative weight should be assigned only to those supervisory/managerial criteria that the employee handles or is involved in. As in the Critical Functions and Accountabilities section, the total of relative weights is 100%, to be distributed among those supervisory/managerial criteria that the employee handles or is involved in. For illustration purposes, if a supervisor handles administrative issues and staff management only, then the 100% should be distributed among these two criteria, as deemed most appropriate.

As for the score and the weighted score, the same concepts explained above for the Critical Functions and Accountabilities section apply.

Overall Evaluation

For non-supervisory positions, the final score will be automatically calculated as per a built-in formula, and will be shown on the first page of the form in the "Overall Performance Appraisal Score" item.

For supervisory/managerial positions, a relative weight (%) should be assigned for each of the overall critical functions and accountabilities score, and the overall

supervisory/managerial criteria score. Both weightings should add-up to 100%, as specified in the form.

Once the relative weights are assigned, and the two scores for overall critical functions and accountabilities and overall supervisory/managerial criteria are determined, the weighted scores and the final score will be automatically calculated as per built-in formulas. The final score will appear on the first page of the form in the “Overall Performance Appraisal Score” item.

The following scale outlines the final score ranges and the corresponding ratings:

<i>Poor Performance</i>	<i>Below Expectations</i>	<i>Meets Expectations</i>	<i>Exceeds Expectations</i>	<i>Outstanding</i>	
1.0	1.5	2.5	3.5	4.5	5.0

Evaluator’s Comments & Recommended Actions

In this section, the immediate supervisor writes down his/her comments on employee performance, recommends specific actions that should be taken to improve on that performance, and signs the form. The second-level supervisor, in turn, reviews and validates the form, includes any comments that he/she may have, and signs it.

Development Plan

In this section, the supervisor *recommends developmental activities, which will improve the employee’s present job performance, enhance potential, and improve skill base. The supervisor should determine anticipated target dates, time frames, and identify specific courses or seminars, and training and development topic areas.*

Employee’s Comments

In this section, the employee writes down any comments that he/she may have, and signs the form, as an indication that he/she has *read and understood* the contents and set up of the PPAF.

In case an employee refuses to sign the form, the supervisor should note that and put his/her comments on the form, prior to forwarding the form to the HR Department.