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Foundational Principles
Performance management is an integral process in which supervisors and employees collaborate to develop, assess, and review an employee's work and professional development objectives and their overall contributions to the organization. More than just an annual review, performance management is an iterative, learning-centered process of aligning goals, setting objectives, assessing progress, and providing on-going coaching and feedback to ensure that employees are meeting their objectives and long-term career goals.

Performance Management
- Is the basis for employee performance expectations and engagement.
- Is merit based, in alignment with university expectations.
- Is an ongoing process of two-way communications and continuous feedback between supervisor and employee in support of:
  - Clarifying roles and performance expectations and aligns performance objectives with strategic priorities.
  - Assisting individuals to actualize full potential and contributions to the organization.
  - Building self-awareness and new skills.
  - Creating a shared understanding of what is required to continuously improve performance and how this will be achieved.
- Requires communication style that is genuine, transparent and learning-centered.
- Requires commitment to accuracy and real discussions about performance that uphold integrity of process.
- Builds culture of learning where employees are at their best more often, are engaged, feel valued and connected to the organization and each other. Professional development and learning opportunities aim at supporting employees in their current position and in developing knowledge and skills for career development.
- Consistently measures and assesses performance against agreed-upon expectations and goals.
- Encourages collaboration and a thoughtful balance of effort and outcome.

Leader Commitment
- Answers important questions for employees about day-to-day performance.
- Reassesses performance objectives as priorities change.
- Assesses performance outcomes that correlate to annual merit compensation process.
- Enables and empowers individual performance.
- Encourages collaboration and a thoughtful balance of effort and outcome.
- At least annually, evaluates and reviews with employee the content and accuracy of duties contained in position description.
- Establishes role and performance expectations.
- Assists employees in actualizing full potential and contributions to the organization.
- Creates a shared understanding of what is required to continuously improve performance and how this will be achieved.
- Communicates in a way that is genuine, transparent, and learning-centered.
Employee Commitment
• Seeks on-going clarity from supervisor about day-to-day performance expectations.
• Proactively partners with supervisor on an ongoing basis to reassess performance objectives as priorities change.
• Self-directed in the accomplishment of individual performance outcomes that correlate to performance management.
• Actively collaborates and thoughtfully balances effort and impact.
• At least annually, evaluates and reviews with supervisor the content and accuracy of duties contained in position description.
• Communicates in a way that is genuine, transparent, and learning-centered.

Accountability
• Performance Management documents are due to HR on the dates listed.
• If a document has not been received, HR will send the following reminders:
  ○ 30-days past due: reminder to supervisor
  ○ 60-days past due: notice to AD

Preparation: Introduction to Performance Management
Due dates for the performance management process change annually based on university guidelines and are published by Libraries’ Human Resources. Please visit Document Registry for Performance Management deadlines. Additionally, Libraries’ HR publishes the performance management calendar in NewsNotes at the start of the annual cycle.

Objective
• Review the upcoming performance management process and requirements.

Required Documentation and Procedures
• Staff Performance Management Process Guide

Relevant Training Sessions

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<td>New Leader Introduction to Performance Management</td>
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**Step 1: Performance Expectations/Performance and Professional Development Objectives**

_Due: August 31, 2022_

**Objective**
- Supervisor and employee collaboratively review position description, clarify the expectations for the position and set performance and professional development objectives for the upcoming year.

**Purpose for the Employee**
- Understand one's duties and responsibilities and how performance will be evaluated.
- Understand what successful performance looks like for the role.
- Collaborate with the supervisor to establish S.M.A.R.T. (specific, measurable, action-oriented, realistic, time-bound) performance objective.
- Propose intentional professional development activities:
  - Focus on one's professional interests, desire to grow in one's profession, and/or prepare one for the changing demands of the job.
  - Consider trainings, conferences, mentoring, educational or self-development opportunities that enhance job related performance and update job skills and techniques.

**Purpose for the Supervisor**
- Clarify expectations for the employee and their responsibilities.
- Ensure performance objective is aligned with strategic or operational priorities, projects, or initiatives.
- Help to identify appropriate professional development opportunities that will enhance the employee's skills and will facilitate career growth.
  - Please note that supporting an employee's professional development can come in many forms and may not require Libraries funding. When appropriate, please consider options such as providing flexibility in schedules to attend a class or stretch assignments to exercise new skills.
- Help the employee be successful in their position by providing support and resources.

**Guidelines**
- Make sure objectives are S.M.A.R.T.
- Objectives can change over time.
- Objectives may be connected to areas for improvement from the previous year's performance evaluation.
- Remember to make connections between an employee's responsibilities and objectives and the organization's strategic directions.
- Give the employee an opportunity to research and draft their own objectives.
- Make sure employee knows where to find information about the strategic directions. [https://library.osu.edu/strategic-directions](https://library.osu.edu/strategic-directions)
- Mention the Staff Advisory Council's staff professional development grants, USAC's staff career development grant, and Libraries' administrative funding for professional development.

**Required Documentation and Procedures**
There is flexibility in how this step is completed. For example, the employee may suggest edits to the position description in writing before the Step 1 conversation. There may be a need for multiple Step 1 meetings, because there is too much to cover in one meeting, or to facilitate an iterative approach to objective-setting.
To ensure consistency, the following activities are required at a minimum:

1. **Position description review**
   - Supervisor can access employee’s [position description in Workday](#).
   - The supervisor should send the position description to the employee in advance, so that the employee has an opportunity to review.
   - If substantive changes need to be made to the position description, please contact the appropriate AD and Libraries’ HR for assistance.

2. **Step 1 conversation**
   - The employee submits draft Step 1 to the supervisor for review.
   - The employee and the supervisor meet face-to-face at least once before the document is submitted.
   - The supervisor will review major responsibilities with the employee during the meeting.
   - The supervisor should describe the performance management process and how performance is assessed.
   - Discuss and draft one performance objective.
   - Discuss and draft one professional development objective.

3. **Step 1 document to Libraries HR**
   - Supervisors should consult with their own supervisors to make sure that objectives are aligned for the team.
   - Supervisors and employees may use file sharing to manage and share documents during the process.
   - Make sure employee has an opportunity to review the document before it is signed and submitted.
   - Employee should receive either a paper or electronic copy of the signed final version.
   - Signed copies of documents should be sent via email to [LIBHR@osu.edu](mailto:LIBHR@osu.edu).
   - See [Collecting Electronic Signatures](#) for more information about collecting signatures.

### Relevant Training Sessions

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<td>Discover Your Personal Leadership Brand</td>
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### Step 2: Mid-year check-in

**Due: January 31, 2023**

**Objective**
- Review progress towards performance and professional development objectives, including what’s working, what’s not working and how to adjust to move forward through the remainder of the performance review period.

**Purpose for the Employee**
- Gain clarity on how employee is progressing towards meeting performance expectations.
• An opportunity to provide feedback to the supervisor and to request assistance in completing objectives.

**Purpose for the Supervisor**
• Recognize accomplishments and reflect on areas for improvement.
• Continue to align expectations and behaviors.

**Guidelines**
• Objectives may need to be adjusted based on new and changing priorities.
• The employee and supervisor should invest time into documenting accomplishments and agreed-upon course corrections, so they aren't overlooked when Step 3s are due and so the employee is not surprised.
• Bullet points are ok.

**Required Documentation and Procedures**
There is flexibility in how this step is completed. For example, employee and supervisor might exchange drafts of proposed updates to objectives prior to an in-person meeting, or they might need multiple face-to-face meetings to accomplish the required activities.

To ensure consistency, the following activities are required at a minimum:

1. **Step 2 conversation**
   o Supervisor schedules time to meet with employee and reviews performance toward expectations and objectives.
   o Discuss what’s working, what’s not working, and how to adjust to move forward through the remainder of the performance review period.
   o Based on meeting with employees, supervisor makes note of current performance assessment including any changes or improvement needed before the Step 3.
   o Employee provides comments (optional) and adjusts objectives (if needed) based on changes to business needs or resource availability and notes in the Additional Comments section.
   o Supervisor should update their own supervisor about employee performance, particularly highlighting changes in performance objectives or overall performance that is above or below expectations.

2. **Step 2 document to Libraries’ HR**
   o Supervisors and employees may use file sharing to manage and share documents during the process.
   o Make sure employee has an opportunity to review the document before it is signed and submitted.
   o Employee should receive either a paper or electronic copy of the signed final version.
   o Signed copies of documents should be sent via email to LIBHR@osu.edu.
   o See [Collecting Electronic Signatures](#) for more information about collecting signatures.

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<td>Mission Possible: Positive Leadership</td>
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</table>
Feedback Skills | All | BuckeyeLearn
---|---|---
**Manager Coaching** | Supervisors | Gateway to Learning
**Manager Conversations** | Supervisors | Gateway to Learning
**Build Relationships** | All | Gateway to Learning
**Foster Positive Relationships** | All | Gateway to Learning

**Step 3: Self-Assessment and Annual Performance Assessment**

**Due:** Self-Assessment to Supervisor by May 19, 2023  
Due: Annual Assessment to Employee by June 30, 2023  
Due: Signed Annual Assessment documents to AD and HR no later than July 3, 2023

**Objective**
- Employee contributes information in preparation for the annual assessment.
- Supervisor and employee share two-way feedback.
- Supervisor assesses the employee’s performance and finalizes the Step 3 document for submission to Libraries HR.

**Purpose for Employee**
- Encourage thoughtful reflection on performance over the past year (accomplishments, opportunities for improvement, and growth and development).
- Ensure that supervisor is fully informed of employee’s activities and accomplishments.
- Provide feedback to supervisor.

**Purpose for Supervisor**
- Identify and resolve gaps in relative assessments of performance.
- Collect and verify information as input into the annual performance review.
- Prepare an annual performance assessment document that is fair, accurate, and complete.

**Guidelines**
- Bullet points are ok.
- Be concise but thorough.
- The Step 3 document contains sections for both the employee’s self-assessment and the supervisor’s assessment. The supervisor should not edit the employee’s self-assessment comments.

**Assessment Definitions**

**Commendable**
- Consistently demonstrates outstanding performance and exceeds major position responsibilities and objectives.
- Applied skills, knowledge, and initiative to create new and better ways for the organization to function. Sought out opportunities to take on additional or new responsibilities as appropriate.
- Demonstrated excellence in the advancement of OSUL’s strategic directions and values.

**Successful**
• Met major position responsibilities and objectives. Utilized ability and experience to produce the desired results that are expected from a qualified employee.
• Consistently contributed to the achievements of the overall unit. Demonstrated an on-going pattern of performance that fulfilled position expectations.
• Demonstrated a commitment to advancing University Libraries’ strategic directions and values.

Unsuccessful
• Did not consistently meet major position responsibilities.
• Fell short of required performance, and immediate improvement is required.
• Performance caused problems, inconveniences, or hardships for others and had a negative impact on the unit’s effectiveness.

Required Documentation and Procedures
There is flexibility in how this step is completed. For example, supervisor could choose to email a draft version of their comments, as discussed with their manager, to the employee before meeting face-to-face to give the employee time to reflect and prepare; or the supervisor could meet with the employee one or more times to discuss the self-assessment and to share feedback verbally before the supervisor drafts their assessment.

To ensure consistency, the following activities are required at a minimum:

1. Step 3 conversation
   • Employee prepares self-assessment portion of Step 3 document (due around mid-May). Employee may notify supervisor of additions to the self-assessment if events occur between the time the self-assessment is due and the end of the performance management period.
   • Employee and supervisor meet face-to-face at least once for two-way feedback and dialogue before the final assessment is submitted to Libraries HR.
   • Supervisor prepares the supervisor-assessment portion of the Step 3 document. Concurrently, supervisor confirms that their supervisor’s (next level) overall assessment of employee’s performance is in alignment.
   • Supervisor returns the Step 3 document to the employee.
   • Employee and supervisor may have additional conversations before the Step 3 document is finalized.
   • It is at the discretion of the supervisor whether to edit their comments based on the employee’s feedback.
   • Employee may add written comments in the Employee Comments section of the Step 3 document.
   • Supervisor, employee, and next level supervisor sign the document.

2. Step 3 document to Libraries’ HR
   • Supervisor emails an electronic copy of the finalized document to Libraries HR (libhr@osu.edu), copying employee, next-level supervisor, and employee’s AD. Finalized document must be received by the published deadline in order for annual merit compensation to be processed.
   • See Collecting Electronic Signatures for more information about collecting signatures.
   • Because the supervisor and the next level supervisor have already met earlier in the process to align assessments, it should be a rare situation when there would be disconnect between the AD and the supervisor at this point. If such a situation occurs, the AD and the supervisor will meet to discuss next steps.
   • Libraries HR shares the Criteria and Process for Salary Increases.
   • Employee receives merit compensation letters via email.
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<tr>
<td>Giving and Receiving Feedback</td>
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### Collecting Signatures

Performance Management documents should be signed electronically using one of the below options:

1. Convert the Word document to a PDF and use electronic signatures within a PDF document. Here are some resources to show you how to use PDF electronic signatures:
   - [https://youtu.be/eF5z8eMcZN8](https://youtu.be/eF5z8eMcZN8)

2. Use DocuSign. You must have DocuSign Author access to send documents and collect signatures. To get access, complete both eSignature Sender and eSignature Author trainings in BuckeyeLearn, then follow instructions within the course to request access from OCIO.

3. If options 1 or 2 are not possible you may use email to acknowledge documents. Supervisor would send the document as an attachment to the employee and 2nd level supervisor. Supervisor would instruct the "signers" to reply all to acknowledge they received and accept the document. Supervisor would forward the document and final email showing acceptance to HR. **For Step 3, supervisor would forward the document and final email showing acceptance to HR and AD.**

### Reminders

Signed performance management documents should be sent electronically to Libraries’ HR by the due date indicated for each step.

- If a document is more than 30-days past due, HR will send an email notification to the manager.
- If a document is more than 60-days past due, HR will send an email notification to the manager and AD.
- If a document is more than 90-days past due, HR will send an email notification to the manager, AD, and Dean.
- **Step 3 documents received after the published due date may result in the employee receiving no merit increase for the performance year.**