## Table of Contents

Purpose of this Guide............................................................................................................ 2  
Performance Defined ............................................................................................................ 3  
Writing the Review ................................................................................................................ 4  
  1. Review Elements ........................................................................................................ 4  
  2. Collecting Data ........................................................................................................... 5  
  3. Primary Message Examples ........................................................................................ 5  
  4. Performance Review Worksheet ................................................................................. 6  
  5. Action Verb Index........................................................................................................ 7  
Cognitive Bias ....................................................................................................................... 9  
Assigning a Rating .............................................................................................................. 11  
Conducting the Conversation .............................................................................................. 12  
Common Mistakes .............................................................................................................. 13  
Best Practices for Process .................................................................................................. 13  
APPENDIX ........................................................................................................................... 14  
  Year-end in myHR Learn ............................................................................................... 14  
  Ratings Definitions and Guidelines ................................................................................ 16  
  Northwestern Values and Behaviors ................................................................................ 17
Purpose of this Guide
This guide is created to help you, as supervisors, support the performance and development of your staff within the year-end Performance Excellence process. This includes writing the review, assigning a rating, and conducting a performance conversation. Read this as you prepare for year-end activities, or follow along in real time as you complete each phase.
What is performance? Performance combines what you do and how you do it. At Northwestern, “what” you do includes job responsibilities as well as performance goals. The “how” of your work is evaluated relative to Northwestern’s values and associated behaviors. The Performance Excellence review includes space for a career development plan, emphasizing its role in increasing performance through time. Progress on a staff member’s career development plan is not included in review and rating.

See [http://perform.northwestern.edu](http://perform.northwestern.edu) for full information on SIMple goals and Northwestern values and behaviors.
Writing the Review

1. Review Elements
The written supervisor review should contain manager observations of accomplishments, any shortfalls, and desired improvements or areas for growth.

Best practice is to begin the review with a “primary message,” backed up by specific examples. The primary message may be considered the main theme of the review. After you've written the primary message and filled it out with examples, add any additional observations about accomplishments, shortfalls and development/growth to round out the picture.

Primary message
• the main theme or message you want the employee to walk away with

Observed achievements
• affirm accomplishments relative to job responsibilities, goals and/or values and behaviors

Observed shortfalls
• note job responsibilities or goals that were not met, or ways in which behaviors did not meet expectations. Offer fair written commentary if the missed objectives were acceptable based on unique circumstances

Desired improvements
• what changes or growth do you hope to see in the year to come?
2. Collecting Data
What data will you need to formulate an objective review and rating? Think about how your organization keeps track of activity, progress, feedback, metrics, and communications. Assemble your data, ask staff to include specific information or documents within their self-review, or sit down in advance of the review to discuss projects and outcomes.

Other “data” can come from those who work with this staff member, and some supervisors choose to collect feedback from these colleagues, collaborators, clients or customers, as may be appropriate.

3. Primary Message Examples

- Jane Doe has increased our team’s credibility and impact across the university by consistently exercising her excellent critical thinking and project planning skills. Project X that launched in the winter and wrapped up recently, was a success because of how Jane worked with stakeholders to think through potential roadblocks at the beginning, and solicited input on the scope of work document. Throughout the project, she planned by carefully defining/documenting roles, responsibilities, and milestones, and continually communicated with everyone to keep it on track. I see her applying this same critical thought and organizational skill to her smaller projects, which she defines and tracks carefully in our online project files. This tracking will enable our team to communicate our collective impact more thoroughly.

- Joe Galvez is an exemplary staff member who improves student experience by bringing a positive and curious attitude to all aspects of his administrative role. I have saved five email threads from the year from students thanking Joe for his help. In these emails, students mention how he welcomed their questions, asked clarifying questions himself, pointed them toward the right information and was kind and funny in the process. He is fulfilling his responsibilities and doing it in such a way that everyone around him has a great experience – it’s contagious and beneficial.

- John Smith is a leader on technical expertise within our team, and needs to increase collaboration skills so that we can achieve our collective goals. As we launched the software platform for ____, John has not consistently delivered his input in a timely manner, which has impacted project timelines (in November, etc, etc and in January, etc, etc).

These sample primary messages may be followed by one-two paragraphs describing additional observed accomplishments or shortfalls from the past year and the improvements or growth you would like to see in the coming year.
### 4. Performance Review Worksheet

#### Primary message formula options

| (Name) created (this impact this year) by (doing this). (Examples using action verbs.....) |
| (Name) is (this kind of contributor: a leader, an innovator) who demonstrates this by (describe actions). (Examples using action verbs.....) |
| (Name) created (This impact this year) and needs development in (these areas) in order to grow into their role. (Examples using action verbs.....) |

Name

---

Impact, results created, the role played (beyond official title)

---

How have you observed their impact, results, or role (behavior, accomplishments, shortfalls)?
5. Action Verb Index

**Communication / People Skills**
- Address
- Advertise
- Arbitrate
- Arrange
- Articulate
- Author
- Clarify
- Collaborate
- Communicate
- Compose
- Condense
- Confer
- Consult
- Convey
- Convince
- Correspond
- Debate
- Define
- Develop
- Direct
- Discuss
- Draft
- Edit
- Elicit
- Enlist
- Explain
- Express
- Formulate
- Furnish
- Incorporate
- Influence
- Interact
- Interpret
- Interview
- Involve
- Join
- Judge
- Lecture
- Listen
- Market
- Mediate
- Moderate
- Negotiate
- Observe
- Outline
- Participate
- Persuade
- Present
- Promote
- Propose
- Publicize
- Reconcile
- Recruit
- Refer
- Reinforce
- Report
- Resolve
- Respond
- Solicit
- Specify
- Speak
- Suggest
- Summarize
- Synthesize
- Translate
- Write

- Entertain
- Establish
- Fashion
- Formulate
- Found
- Illustrate
- Initiate
- Institute
- Integrate
- Introduce
- Invent
- Model
- Modify
- Originate
- Perform
- Photograph
- Plan
- Revise
- Revitalize
- Shape
- Solve

- Measure
- Net
- Plan
- Prepare
- Program
- Project
- Qualify
- Reconcile
- Reduce
- Research
- Retrieve

**Creative Skills**
- Act
- Adapt
- Begin
- Combine
- Compose
- Conceptualize
- Condense
- Create
- Customize
- Design
- Develop
- Direct
- Display
- Draw

**Helping Skills**
- Adapt
- Advocate
- Aid
- Answer
- Arrange
- Assess
- Assist
- Clarify
- Coach
- Collaborate
- Contribute
- Cooperate
- Counsel
- Demonstrate
- Diagnose
- Educate
- Encourage
- Ensure
- Expedite
- Facilitate
- Familiarize
- Further
- Guide
- Help
- Insure
- Intervene
- Motivate
- Prevent
- Provide
- Refer

**Data/Financial Skills**
- Administer
- Adjust
- Allocate
- Analyze
- Appraise
- Assess
- Audit
- Balance
- Budget
- Calculate
- Compute
- Conserve
- Correct
- Determine
- Develop
- Estimate
- Forecast
- Manage
- Market
- Measure
- Net
- Plan
- Prepare
- Program
- Project
- Qualify
- Reconcile
- Reduce
- Research
- Retrieve

**Management/Leadership Skills**
- Administer
- Analyze
- Appoint
- Approve
- Assign
- Attain
- Authorize
- Chair
- Consider
- Consolidate
- Contract
- Control
- Convert
- Coordinate
- Decide
- Delegate
- Develop
- Direct
- Eliminate
- Emphasize
- Enforce
- Enhance
- Establish
- Execute
- Generate
- Help
- Head
- Hire
- Host
- Improve
- Incorporate
- Increase

Northwestern University © 2018
Initiate  Inspect  Institute  Lead  Manage  Merge  Motivate  Navigate  Organize  Originate  Overhaul  Oversee  Plan  Preside  Prioritize  Produce  Recommend  Reorganize  Replace  Restore  Review  Schedule  Secure  Select  Streamline  Strengthen  Supervise  Terminate

**Organizational Skills**
Approve  Arrange  Catalogue  Categorize

Chart  Classify  Code  Collect  Compile  Correct  Correspond  Distribute  Execute  File  Generate  Incorporate  Inspect  Log  Maintain  Monitor  Obtain  Operate  Order  Organize  Prepare  Process  Provide  Purchase  Record  Register  Reserve  Respond  Review  Route  Schedule  Submit  Supply  Standardize  Systematize

Update  Validate  Verify

**Research Skills**
Analyze  Clarify  Collect  Compare  Conduct  Critique  Detect  Determine  Diagnose  Evaluate  Examine  Experiment  Explore  Extract  Formulate  Gather  Inspect  Interview  Invent  Investigate  Locate  Measure  Organize  Research  Review  Search  Solve  Summarize  Survey  Systematize  Test

**Teaching Skills**
Adapt  Advise  Clarify  Coach  Communicate  Conduct  Coordinate  Critique  Develop  Enable  Encourage  Evaluate  Explain  Facilitate  Focus  Guide  Individualize  Inform  Instill  Instruct  Motivate  Persuade  Simulate  Stimulate  Teach  Test  Train  Transmit  Tutor

**Technical Skills**
Adapt  Apply  Assemble  Build  Calculate  Compute  Conserve  Construct  Convert  Debug  Design  Determine  Develop  Engineer  Fabricate  Fortify  Install  Maintain  Operate  Overhaul  Print  Program  Rectify  Regulate  Remodel  Repair  Replace  Restore  Solve  Specialize  Standardize  Study  Upgrade  Utilize
Cognitive Bias

“Nobody would say, 'I'm voting for this guy because he's got the stronger chin,' but that, in fact, is partly what happens.”
- Daniel Kahneman, author *Thinking, Fast and Slow*

As we evaluate others, our judgments may be influenced by cognitive bias. Reflect on the following biases to explore your own review and rating pitfalls. Do certain staff members, preferred characteristics, or tendencies come to mind?

<table>
<thead>
<tr>
<th>Bias</th>
<th>What it looks like</th>
<th>How to lessen the impact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Halo effect</td>
<td>This staff member walks on water. Everything they do is wonderful.</td>
<td>Establish what “wonderful” looks like on your team. Connect your definition to results. Evaluate your staff member relative to this definition.</td>
</tr>
<tr>
<td>Horns effect</td>
<td>This staff member is a problem. Everything they do is annoying, sloppy or disappointing.</td>
<td>Establish what “annoying, sloppy, or disappointing” looks like on your team. Connect your definition to results. Evaluate your staff member relative to this definition.</td>
</tr>
<tr>
<td>Stereotyping/Personal biases</td>
<td>This staff member is the kind of person I prefer (race, gender, clothing, speech, appearance, work habits).</td>
<td>List out your preferences. Evaluate staff members relative to visible accomplishments and results and be especially careful to do so with staff members who do or do not match your personal preferences.</td>
</tr>
<tr>
<td>Confirmation Bias</td>
<td>I believe this about a staff member, so I will seek data that aligns with my belief.</td>
<td>Argue with your own claim. Draft your primary message, and then look for data, information or input that contradicts your message.</td>
</tr>
<tr>
<td>First impression or Primacy effect</td>
<td>The first project they worked on here was a flop.</td>
<td>Evaluate all accomplishments or shortfalls over this performance year (only).</td>
</tr>
<tr>
<td>-----------------------------------</td>
<td>-------------------------------------------------</td>
<td>---------------------------------------------------------------------</td>
</tr>
<tr>
<td>Recency effect</td>
<td>This staff member gave an amazing presentation last week.</td>
<td>Evaluate all accomplishments or shortfalls over this performance year (only).</td>
</tr>
<tr>
<td>Spill-over effect</td>
<td>This staff member was my top performer last year, or three years ago, etc.</td>
<td>Evaluate all accomplishments or shortfalls over this performance year (only).</td>
</tr>
<tr>
<td>Lenience</td>
<td>Everyone is above average on my team.</td>
<td>Notice your review and rating preference. Try to differentiate reviews and ratings across your team according to accomplishments and results.</td>
</tr>
<tr>
<td>Stiffness</td>
<td>Everyone is so-so on my team.</td>
<td>Notice your review and rating preference. Try to differentiate reviews and ratings across your team according to accomplishments and results.</td>
</tr>
<tr>
<td>Central tendency</td>
<td>I always rate a certain way (low or high). It’s just how I see the world, or how I think it should be done.</td>
<td>Notice your review and rating preference. Try to differentiate reviews and ratings across your team according to accomplishments and results.</td>
</tr>
</tbody>
</table>
Assigning a Rating

Northwestern’s rating framework has five, qualitative ratings. Supervisors are encouraged to begin by assigning an Achieving rating to their staff members, and then to think specifically about why they may have earned a higher or lower rating.

Achieving indicates solid performance. Someone who fulfilled their job responsibilities and generated results as anticipated. As you look back at the written review you have drafted, do you see evidence of impact that was a higher than expected? If significant impact is clearly demonstrated, consider an Excelling rating. The Role Model rating is meant to be used sparingly, for staff members whose work was transformational and made a profound impact. This rating may be appropriate if a staff member stepped in to lead an unexpected project, or for a staff member whose efforts created a meaningful and sustainable improvement in team or department outcomes.

Development Needed is a rating designed to support a primary message that identifies a specific and essential skill or behavior gap. This gap in skills or behavior must be addressed in order for this staff member to fulfill the expectations of their role. Corrective Action is a formal process experienced by few staff members with significant performance issues. For those already in that process, this rating is an appropriate choice.

If the staff member is new in their role, please evaluate their performance relative to the learning curve of their role. Are they progressing as expected (Achieving)? Faster than expected (Excelling)?
Conducting the Conversation

The performance conversation is an essential part of the performance excellence experience. At a minimum, this conversation has two parts: a backward-looking review of the year’s performance (an oral version of the written review) and a conversation about the year ahead.

Importantly, this should be a dialogue. Once you have delivered your primary message and other aspects of your review, ask questions, such as:

- What went well from your perspective?
- What could have gone better?
- What barriers to success have you experienced?
- Based on this discussion, what goals would you like to set for next year?
- How do you prefer to receive ongoing performance feedback?
- What training or experiences interest you?

Performance conversations can include preliminary goal-setting, and also provide an opportunity to discuss short-term and long-term career goals.

- Where do you see yourself in 2 years? 5 years?
- If you could add one new responsibility or project, what would it be?
- What do you most enjoy in your current role?
Common Mistakes
- Leaving too little time
- Accepting interruptions
- Lack of privacy (over lunch? Not recommended)
- Not owning the message
- Talking without listening
- Using “always” or “never”
- Repeating yourself

Best Practices for Process
Once a review is drafted and a rating assigned, best practice is to share your drafts with your immediate supervisor and solicit their input. In some schools or units, a formal calibration process will be employed.

Releasing the review to the staff member may happen before or after the performance conversation, as recommended by your school or unit. Northwestern’s recommendation is to separate the review and rating conversation from the merit conversation. A typical flow may look like this:
APPENDIX

Year-end in myHR Learn
Reviewing & Rating Annual Performance Plans

For Supervisors

Review and recognize a staff member’s individual performance, develop enrichment opportunities for staff, and identify those who may need assistance.

Overview

- Review your staff members’ annual plan and add final feedback.
- Assign a rating (Role Model, Excelling, Achieving, Development Needed, Corrective Action).
- When finished, click SAVE. When you are ready for the staff member to finalize the review and rating, click RELEASE TO EMPLOYEE.

Detailed Instructions

From the myHR Learn Home page...

1. Scroll down to the Reviews section. Select “Current Review” and “Reviews I Own.”
2. Click Open next to the name of the staff member.
3. Read the staff member’s comments. Click the plus sign ++ to open Job Responsibilities, Goals, Development Plan, and Northwestern Values.
4. Read the staff member’s Self-Review. Click the plus sign ++ to open and read accomplishments and final comments. Open attachments to view any supporting documentation.
5. Provide your review in Supervisor Review (Required). Click to open, enter comments, and SAVE.
6. Assign a rating. Hover over the radio buttons to see labels. Click the appropriate one and SAVE. When ready, click RELEASE TO EMPLOYEE. Note! The plan is available for the staff member to finalize.

Not ready to release to employee?

- If your unit conducts a calibration step, or releases ratings at a specific time, click SAVE. Then exit.
- If you want your staff to make changes to the review, click SAVE, then click “More actions” and “Reopen review.” Notify the staff member that the review was re-opened.
myHR Learn Year-End Workflow

myHR Learn creates a seamless year-end summary experience for both staff and supervisors

When you’re ready to begin the process, log in to myHR Learn at learn.northwestern.edu

Open your review

Summarize your performance in the “Self-Review” field

Add attachments as appropriate

Edit and complete comments to share with your supervisor

Save and submit the form

This forwards your feedback on to your supervisor so they can begin their own review

They’ll provide feedback and a rating

Then your supervisor will release your review back to you

Acknowledge that you’ve received and read the review. Then you’re ready to click “Finalize”

By finalizing, you complete and submit your year-end summary in myHR Learn
Ratings Definitions and Guidelines

- The vast majority of Northwestern staff want to be here and make meaningful contributions. Every staff member has room to improve, and benefits from knowing where they stand.
- Ratings are based on annual performance. No one should be evaluated based on prior years' performance.
- Ratings should be a summary of feedback provided throughout the year.
- New hires or staff members new to their role should be rated against their expected progress in learning the role, not against being fully capable in the role.
- Ratings should accurately reflect a staff member's contribution. They should not be used as a punishment, a way to avoid conflict, or as a substitute for other rewards.
- Expectations should increase every year. Doing the same things the same way without focusing on continuously improving should not merit the same rating year after year. This is true even for staff whose core responsibilities remain largely the same year-to-year.

Few staff (5-10%) are Role Models. This rating is reserved for those few staff who made a profound impact this year.

- Consistently went beyond core job responsibilities.
- Exceeded all expectations and goals, making a profound impact on school/unit and University beyond what was planned.
- Demonstrated Northwestern Values in an exemplary way and modeled the values for others.
- Ready for expanded or new responsibilities.
- Not recommended for new hires or new to role.

Some staff (20-30%) are Excelling and made a significant impact this year.

- Went above and beyond core job responsibilities.
- Exceeded expectations and goals, making a significant impact on school/unit beyond what was planned.
- Demonstrated Northwestern Values in an exemplary way.
- May be ready for new or expanded responsibilities.
- For new hires or new to role: progressed significantly faster than expected.

Many staff (50-70%) are Achieving and made a solid impact this year.

- Fulfilled core job responsibilities.
- Achieved goals, making a solid impact on school/unit.
- Demonstrated Northwestern Values consistently.
- Showed personal growth.
- For new hires or new to role: progressed as expected.

Few staff (5-10%) made a limited impact this year, and there is Development Needed in one or more areas under review. This rating is appropriate when one or more of the following statements apply:

- Did not consistently fulfill core job responsibilities.
- Did not consistently meet expectations and goals.
- Did not consistently demonstrate Northwestern Values.
- Did not show much personal growth.
- For new hires or new to role: progressed slower than expected.

Very few staff are in a formal Corrective Action process.

- Failed to improve despite ongoing efforts to address performance issues.
Northwestern Values and Behaviors

We strive for **Excellence**, taking pride in what we do. This looks like:

- Taking ownership and doing what is needed without having to be asked.
- Taking responsibility for outcomes, even when things don’t turn out right.
- Bringing forward options and solutions, not just identifying problems.
- Doing what you say you will do, when you say you will do it, working through circumstances with determination.
- Producing quality work that is both accurate and insightful.
- Providing valuable and helpful service to customers, making things easier for them.
- Working efficiently, and using University resources responsibly.
- Being a good steward, always working toward a better and more sustainable future.

We learn through **Discovery**, growing all the time. This looks like:

- Developing your professional skills, being curious and willing to learn.
- Generating ideas and finding new ways to contribute.
- Making improvements to the way work gets done, even when things may not be your direct responsibility.
- Being open to and soliciting feedback, and applying that learning to the way you work.

We engage in **Collaboration**, achieving success together. This looks like:

- Building strong working relationships and a positive work environment.
- Keeping others informed and involved.
- Finding and using the strengths of others, across the University.
- Being a great team member, pulling your weight and making space for others to shine.
- Recognizing the contributions of others.
- Helping others develop through candid and constructive feedback.

We embrace our **Diversity**, fostering a vibrant community. This looks like:

- Treating everyone with courtesy and respect, creating a welcoming community for all.
- Being respectfully curious about people’s experiences.
- Seeking diverse perspectives from others.
- Reaching out to be inclusive of others.
- Confronting people or situations that inhibit diversity.
- Increasing diversity, through hiring, development, and engagement.

We act with **Integrity**, building safety and trust. This looks like:

- Acting ethically, and seeking guidance when the ethics of a situation are not clear.
- Being transparent, open, and honest.
- Holding others accountable for unethical behavior.
- Acting with University’s best interest at heart.
- Honoring University policies and regulatory requirements.
- Doing whatever is necessary to create a safe environment for all. Going beyond minimal standards to assure the intentions of our initiatives are realized.