Performance Dialogue and Goal-Setting: For PMA Roles
Summary Sheet

Employee Name: ________________________________
Western ID#: ________________________________
Role: __________________________________________________________________________
Faculty/Unit: _________________________________
Period Under Review: June 1, 2014 - May 31, 2015
Reviewer/Leader Name: ____________________________

Table of Contents
A. Employee Reflection (completed by employee)
B. Leader's Assessment (completed by leader)
C. Dialogue and Goal Setting (completed by employee and leader together)

Document Completion and Storage
Complete this form electronically.
Employee and Leader will each retain a signed hardcopy of this one page Summary Sheet and an electronic copy of the full completed document.

Leader's Overall Performance Rating: □ Unacceptable □ Fair □ Good □ High-Quality □ Exceptional

Leader Signature:
(Signature acknowledges discussion of this assessment and plan.)

Date: ________________________________

Comments:

Employee Signature:
(Signature acknowledges discussion of this assessment and plan; it does not denote agreement.)

Date: ________________________________

Comments:
PDG Tips for Employees and Leaders

1. Decide on a meeting format that works for you.
   Do you want one PDG meeting or two (e.g. one that focuses on assessment and another that focuses on work goals)? It’s up to both of you to decide.

2. Focus on significant outcomes.
   When completing the employee reflection, use tools like your calendar, project plans and task lists to jog your memory so that you capture your 3-8 most significant outcomes for the full assessment period. When assessing performance, ensure you’re not just basing your feedback on what you’ve seen recently.

3. Include specific examples.
   The PDG conversation is an opportunity to exchange feedback. If you’re unclear about feedback you receive about your performance, ask for clarification. To help avoid confusion, reference specific examples when giving feedback.

4. Focus on the positive.
   When receiving feedback, sometimes we have a tendency to zero in on what we perceive to be negative – be sure to spend some time appreciating the positive. When giving feedback, ensure you highlight specific instances that impressed you – not just “Ali is a great team player”. It makes the feedback more meaningful.

5. Exchange feedback throughout the year.
   If it’s not currently part of your practice, now is a great time to start. Make the exchange of formal and informal feedback a regular part of your work, not just around PDG time.
## A. EMPLOYEE REFLECTION

### 1. Past Year's Work Goals
List any goals identified at your last performance review, or goals that arose during this review period. Name the goal and indicate its current status.

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<tr>
<th>Goal</th>
<th>Current Status</th>
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<tbody>
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<td>Completed</td>
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### 2. Summary of Work Outcomes
Provide 3 to 8 examples of your most significant work outcomes since your last performance review. Use point form. To identify work outcomes consider a) your major role accountabilities; b) your daily work; and c) any work goals or significant projects assigned. If you made a significant contribution to a project or goal that is still in progress, describe the interim outcomes achieved during this review period.

<table>
<thead>
<tr>
<th>What you did</th>
<th>Who benefitted</th>
<th>Outcomes achieved (what’s in place or different as a result of your actions?)</th>
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</thead>
</table>
3. Professional Development
During the past year, what learning and development opportunities did you participate in (e.g. job-shadowing, cross-training, workshops, conferences, courses)? What did you gain from these learning experiences?

4. General Reflections
   a) What work gave you the most satisfaction?

   b) What was the greatest challenge you faced?

   c) What key strengths did you bring to your work this year?
B. LEADER'S ASSESSMENT

Instructions for Leaders

1. Review
   a) What was expected: Consider role accountabilities, work goals, development goals, and projects assigned.
   b) Indicators of performance: Consider your own observations, numerical indicators (e.g., financial, work volume, safety), client and colleague feedback, and the PDG Employee Reflection.
   c) The PDG assessment questions

2. Assign Ratings
   For each assessment question, select the appropriate descriptor to rate the quality of performance. Check N/A if an aspect of performance was not applicable. The assessment should reflect the employee’s performance over the entire review period.

3. Provide Comments
   At the end of each section write comments to support your rating. Where possible, provide examples of observable behavior (what the person did) and indicate the outcomes resulting from the person’s actions. e.g. “Jenn, you led two successful IT upgrade projects this year that were completed on time (behaviour). Users are now able to update data on-line and eliminate paper processes (outcome). Great work!”

Assessment Questions - Summary

<table>
<thead>
<tr>
<th>Professional Outcomes</th>
<th>Work Relationships and Communication</th>
<th>Leadership (formal and informal)</th>
<th>Safety</th>
</tr>
</thead>
<tbody>
<tr>
<td>For this review period, did the employee: • Achieve the desired technical/professional outcomes to the level of quality and quantity required by those served? • Make good use of resources while achieving his/her outcomes? • Ensure her/his technical/professional knowledge, skills and practice continue to match work demands? • Respond constructively to work challenges and set-backs?</td>
<td>For this review period, did the employee: • Develop and maintain productive and collegial work relationships? • Use communication skills appropriate for the role?</td>
<td>For this review period, did the employee: • Ensure others knew the purpose of shared work, work changes, and were clear about goals, plans and expectations (e.g., colleagues or team members)? • Enable individuals and teams to work productively? • Recognize and encourage others’ performance? • Encourage and/or support others to increase their knowledge, skill and abilities?</td>
<td>For this review period, did the employee: • Follow and promote safe work practices as appropriate for his/her role? • Contribute to a respectful work environment?</td>
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1. Professional Outcomes

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**For this review period, did the employee:**

**Achieve the desired technical/professional outcomes to the level of quality and quantity required by those s/he served?**

- □ Rarely. Work often had serious quality problems; amount of work completed fell short of expectations and client needs.
- □ Sometimes. At times the amount of work completed met expectations and client needs; serious quality problems arose occasionally; inconsistent achievement of several role accountabilities.
- □ Usually. Met client needs in terms of timeliness, quality, and quantity. Dependable achievement of most key role accountabilities.
- □ Consistently. Outcomes for all key accountabilities were achieved at a very high level of quality and quantity that often delighted clients or colleagues.
- □ Outcomes were achieved at a level of quality and quantity that set a standard of excellence, serving as a model for professional practice in a particular area, or introduced a significant improvement to the way the Unit or the University operates.

**Make good use of resources while achieving his/her outcomes?**

- □ Rarely. Often used own and/or others’ time and abilities inappropriately. Misused technology/supplies/financial resources.
- □ Sometimes. Work choices occasionally resulted in loss of time, misuse of technology or a waste of supplies or financial resources.
- □ Usually. Made productive use of own and other’s time and talents and made responsible use of technology, supplies, and financial resources.
- □ Consistently. Made very productive use of own and others’ time and talents; often found ways to make better use of technology, supplies, and financial resources to achieve more efficient, effective outcomes.
- □ Modeled wise and astute judgement in the use of time, talent, and other resources to achieve priority outcomes. Made innovations to improve the efficiency and effectiveness of the work. Others often learned new methods by observing his/her approach.

**Ensure her/his technical/professional knowledge, skills and practice continue to match work demands?**

- □ Rarely. Did not keep up to date on own profession’s standards of practice or seek opportunities to maintain competence or expand knowledge and skills.
- □ Sometimes. When reminded by others of changes in his/her profession, sometimes made efforts to improve knowledge and skills.
- □ Usually. On the whole, kept practice consistent with standards in key aspects of his/her profession. Engaged in opportunities to advance knowledge and skills.
- □ Consistently. Kept practice at a very high level of professional competence; consistently took initiative to find and engage in opportunities to advance knowledge and skills for the role and for future challenges.
- □ Contributed to advancements in the profession; sought and engaged in challenging opportunities to advance knowledge and skills for the role and for future challenges.

**Respond constructively to work challenges and set-backs?**

- □ Rarely. Reacted with prolonged negativity; blamed challenges on external factors; did not take initiative to resolve difficulties.
- □ Sometimes. Own stress occasionally disrupted his/her own work and that of others. Often waited for others to take action.
- □ Usually. Made an effort to control own stress and focus productively on solutions.
- □ Consistently. Maintained optimism in the face of difficulties and challenges; took initiative to find productive ways to deal with them.
- □ Modeled great resilience and optimism. Viewed challenges and difficulties as a normal part of work and an opportunity to reflect, learn, and improve.

**Leader’s Comments** Please provide specific examples to support your ratings.
2. Work Relationships and Communication

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For this review period, did the employee:

**Develop and maintain productive and collegial work relationships?**

- **Rarely.** Did not consider the needs or work of others when completing own work. Own choices and actions had a negative impact on others' productivity.
- **Sometimes.** As necessary, consulted with others to complete his/her work. Made some effort to understand the impact when own choices and actions affected others.
- **Usually.** Was aware of the work of others. Regularly communicated and collaborated to keep others informed and work progressing. Made good efforts to understand others and clarify own views to resolve differences.
- **Consistently.** Was very mindful of the work of others and how his/her own work affected others' success. Consulted with others at an early stage when own work affected others to facilitate problem solving and build trust. Approached others with notable tact and sensitivity.
- **Modeled exceptional skills in fostering strong working relationships and collaboration; considered the system wide implications of changes in own work and impact on others. Proactively engaged others in exploring shared issues and opportunities. Approached differences as an opportunity for creativity.**

**Use communication skills appropriate for the role?**

- **Rarely.** Spoken and written messages were frequently unclear, incomplete, or inaccurate. Did not seek to understand others and missed key information.
- **Sometimes.** Spoken and written messages were occasionally unclear, incomplete, or inaccurate. Used listening skills, on occasion, to gain clarity about needs and issues.
- **Usually.** On the whole, oral and written messages were clear, complete, and accurate. Listened regularly to gain clarity about needs and underlying issues.
- **Consistently.** Showed particular strength in communicating clear, complete, and accurate oral and written messages. Listened effectively to gain clarity about needs, opinions and feelings. Expressed own needs very effectively and respectfully.
- **Modeled great expertise in interpersonal and written communication. Listened with empathy and genuineness. Created a climate of shared understanding, engagement and trust by modelling skill in understanding the needs of others and expressing his/her own needs.**

**Leader's Comments**  Please provide specific examples to support your ratings.
3. Leadership (formal and informal)

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For this review period, did the employee:

Ensure others knew the purpose of shared work, work changes, and were clear about goals, plans and expectations (e.g. colleagues or team members)?

- **Rarely.** Others were often unaware or confused about work changes, goals, plans, expected outcomes, quality, and/or timing.
- **Sometimes.** Others were occasionally confused or unclear about the purpose of shared work, work changes, work plans, expected outcomes, quality, and/or timing.
- **Usually.** Made efforts to ensure others were clear about the purpose of shared work, work changes, work plans, and expected outcomes; encouraged questions and clearly stated his/her needs. Others understood the desired outcomes in terms of quality, quantity, and timing.
- **Consistently.** Engaged others in defining the purpose of shared work, work changes, work plans, and expected outcomes; encouraged questions and clearly stated his/her needs. Others understood the desired outcomes in terms of quality, quantity, and timing.
- **Created an exemplary climate of shared understanding and commitment to the work.** Collaboratively defined the purpose of shared work, work changes, and work plans. Achieved shared ownership and understanding of expected outcomes, quality, and timing.

Enable individuals and teams to work productively?

- **Rarely.** Lack of information and resources impeded others’ productivity. Team members were not connected to each other, or aligned to goals.
- **Sometimes.** Inconsistency in providing information and resources occasionally impeded others’ progress. On occasion, would bring others together to address a shared problem.
- **Usually.** Individuals usually had the information and resources to proceed productively with their work. Regularly brought others together to discuss work and resolve difficulties.
- **Consistently.** Often anticipated individual needs and provided information and resources so that work proceeded in a productive way. Frequently brought others together to proactively discuss shared work, resolve issues and align to goals. Took steps to foster and improve teamwork.
- **Modeled great skill in enabling individual and team performance.** Anticipated individual needs; the flow of information was proactive, swift, clear; needed resources were always in place. Proactively assessed team functioning and continuously found ways to strengthen relationships, collaboration, and alignment.

Recognize and encourage others’ performance?

- **Rarely.** Harsh feedback or an absence of feedback resulted in loss of productivity and damaged relationships.
- **Sometimes.** Gave limited appreciation and recognition to others. Productivity and/or relationships suffered from lack of constructive feedback.
- **Usually.** Offered appreciative comments and recognized others’ work. Others felt valued and benefitted from specific feedback, suggestions, or coaching.
- **Consistently.** Offered sincere, specific appreciation and feedback that resulted in an increased sense of value and commitment. Skillfully offered wise suggestions and coaching that increased others’ performance and productivity.
- **Created a strong climate of individual and team success by providing frequent, meaningful feedback, coaching and support.** Inspired the confidence and ability in others to take on new challenges. Others felt highly valued, engaged in their work and clear about the way their work contributed to the unit’s outcomes.

Encourage and/or support others to increase their knowledge, skill and abilities (e.g. colleagues or team members)?

- **Rarely.** Did not promote the development of others.
- **Sometimes.** On occasion suggested ways others could develop knowledge and skill.
- **Usually.** Encouraged others to develop knowledge and skill; informed others about learning opportunities and helped others to access appropriate resources.
- **Consistently.** Kept others’ development goals in mind, identified formal and informal learning opportunities and helped others gain access to necessary resources. Created opportunities for others to learn and apply new skills and knowledge.
- **Considered current and future work trends when identifying learning opportunities to increase individual and team capability.** Recommended, created and supported formal and informal learning experiences for others to develop their skills, advance their careers, and help the team meet future organizational needs.
Leader's Comments  *Please provide specific examples to support your ratings.*

4. Safety

**For this review period, did the employee:**

<table>
<thead>
<tr>
<th>Follow and promote safe work practices as appropriate for his/her role?</th>
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<tbody>
<tr>
<td>☐ More Attention Required  ☐ Met Expectations</td>
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<tr>
<th>Contribute to a respectful work environment?</th>
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<td>☐ More Attention Required  ☐ Met Expectations</td>
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Leader's Comments  *Please provide specific examples to support your ratings.*
5. Leader's Overall Performance Rating

Overall, how well did the results achieved match the expectations and goals of the role for the period under review? The overall rating is NOT an exact numerical calculation of the ratings assigned to the criteria on the previous pages, since the importance of various criteria will vary from role to role. This rating reflects one year's performance only; performance levels can vary from year to year for a variety of reasons.

<table>
<thead>
<tr>
<th>Unacceptable Performance</th>
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<th>Good Performance</th>
<th>High-Quality Performance</th>
<th>Exceptional Performance</th>
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<tr>
<td>□ Rarely achieved expected outcomes and standards of performance in many aspects of the job. Therefore, significant improvement is needed and major remedial development is required to ensure job expectations are met. This situation needs to be addressed immediately with a clear action plan to assist the employee to make major improvements within a defined time period.</td>
<td>□ Sometimes achieved a number of the core quantitative and qualitative outcomes of the job; there was some significant inconsistency in quality and/or quantity and/or difficulty with expected behaviours and practices. This situation needs to be addressed with a clear action plan to assist the employee to fulfill all job expectations within a defined period of time.</td>
<td>□ A valued, dependable performer and a positive contributor. Usually achieved the expected outcomes to the expected standards of quality and quantity; demonstrated good work practices and could be counted on to deliver good quality work.</td>
<td>□ A valued, high-achieving performer. Consistently achieved goals, objectives and expectations through outstanding achievements in all aspects of the position. This category is reserved for employees who did at least one of the following: 1) established a new, higher standard of performance excellence in key areas of responsibility, thus serving as a model for performance in this role; 2) introduced innovations and significant improvements to processes and outcomes of work; 3) made significant contributions to the Division/Department and/or University above and beyond excellent performance of the core accountabilities of the role.</td>
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6. Ratings Review Process

Instructions for Leaders

1. Forward Draft Ratings to Your Next Level Leader
Before holding PDG meetings with your PMA direct reports, forward your draft overall performance ratings electronically to your next level leader. Use the form, "Unit Summary of PDG Ratings," available on the PDG website.

2. Await feedback from Dean/Vice-Provost/AVP before proceeding with PDG meetings
Deans/Vice-Provosts/AVPs will review the Unit Summaries, and discuss with leaders as needed. Deans/Vice-Provosts/AVPs will indicate when leaders within their unit are to proceed with PDG meetings.

3. Hold PDG Meetings and Forward Final Ratings to Your Next Level Leader
After completing your PDG meetings, enter your final ratings on your original "Unit Summary of PDG Ratings". Forward the summary to your next level leader. Deans/Vice-Provosts/AVPs will send an overall Faculty or Division Rating Summary to Human Resources for annual salary adjustments. Deans/Vice-Provosts/AVPs will also send a copy of the Faculty or Division Summary to their VP/Provost.
C. Dialogue and Goal-Setting — Future Focus

Instructions for Leaders
During the POG meeting, explore these questions with the employee and record key points only.

1. What types of work do you find most engaging?

2. In the future, what would you like to be doing in your career?

3. What would help you do your best work in the year ahead? For example, do you have:
   - a collegial and respectful work environment
   - clarity about your role and the quality and quantity of outcomes expected
   - information, supplies, equipment, coaching, learning opportunities
   - appropriate authority in your role to solve problems/make decisions about your work
   - the ongoing feedback and recognition you need to stay energized
   - opportunities to contribute to unit decisions and plans
   - the kind of leadership support from me to help you do your best?

4. Considering your work, where would you like to get better results (e.g. in your professional work, work relationships, leadership, etc.)?

5. Is there anything else you would like to discuss?
6. What work goals do we agree upon for the coming year?

Discuss University and Unit/Department priorities. Consider new initiatives, current or new role accountabilities and the employee’s strengths and interests. Agree on specific, relevant, achievable, realistic, and time-specific goals.

<table>
<thead>
<tr>
<th>Goal</th>
<th>Desired Outcome</th>
<th>Start/ End Dates</th>
<th>Progress Review</th>
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<tbody>
<tr>
<td>To contribute to our priorities, I plan to: (E.g. create, develop, revise, lead, improve, implement, deliver, etc.)</td>
<td>The following will be in place as a result of these efforts: (describe what will be new, better or different – and for whom – in terms of quality and quantity)</td>
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<td>(check-in periodically and record date, progress and comments)</td>
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7. What learning and development plan do we agree upon for the coming year?

Discuss what knowledge or skill will help the employee be successful given the work ahead. Review the employee’s work goals, areas for improvement, strengths and interests. 1-3 areas are recommended. For development strategies, consider a combination of approaches (e.g. job shadowing, self-directed study, cross-training, challenging assignments, teaching others, workshops, conferences, courses, etc.).

<table>
<thead>
<tr>
<th>Desired Outcomes</th>
<th>Development Strategies</th>
<th>Leader’s Actions/Support Required</th>
<th>Start/ End Dates</th>
<th>Progress Review</th>
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<tbody>
<tr>
<td>What I will be able to do better or differently in my role.</td>
<td>To achieve this outcome, I will: (e.g. meet with, observe, research study, practice, teach, attend, etc.)</td>
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