

AMERICAN UNIVERSITY OF BEIRUT

PERFORMANCE APPRAISAL DESIGN: THE CASE OF THE
AMERICAN UNIVERSITY OF BEIRUT

by
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for the degree of Master in Human Resource Management
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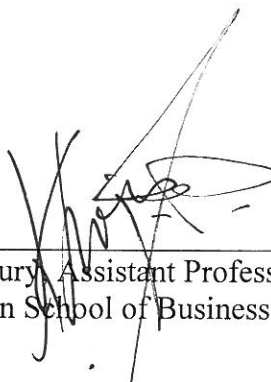
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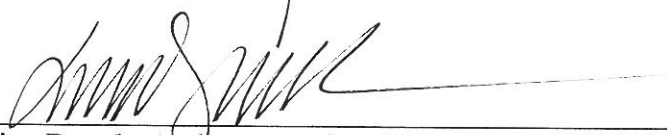
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AN ABSTRACT OF THE THESIS OF

Rania Ziad El Hajjar for Master of Human Resource Management

Major: Human Resources

Title: Appraisal Design: The Case of the American University of Beirut

Purpose – The purpose of this paper is to explore, within the American University of Beirut, the current practices in relation to performance appraisals, and come up with future recommendations of improvement in the relative process in specific and the system in general. Moreover, the main outcome of this paper is the development of a new Competency Model that would be the basis of future HR activities within the University.

Design/methodology/approach – A sample of managers (in Grades 13 and above) and non-supervisory staff members (Grades 1-12) was drawn from the American University of Beirut faculties and administrative departments. Their views were sought on the extent to which they empathized with the appraisal approach adopted within their institution. Opinions relating to the requirements and needs for change in the appraisal process and tools used were examined to develop a Competency-based approach to performance appraisal at AUB.

Findings – Results suggest: The performance appraisal process and tools adopted at AUB need to be revisited as they lack the basic requirements for evaluating performance. A Competency Model is required to standardize performance evaluation across the various job families operating within AUB.

Research limitations/implications –The findings are based on a small sample in view of the numerous departments and faculties within AUB. The sources of information were limited to English language peer-reviewed articles and books. The participants have no academic background in Human Resources or specifically a practical experience in the performance management field.

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CHAPTER I

INTRODUCTION

Human resources are increasingly becoming the sole competitive advantage of organizations despite their scarcity in the region. At this stage of human resource management, they are often referred to as the “the human capitals” for businesses. Then again, are people truly the organization’s most important asset? Are they worth investing in and/or developing? Do they bring any return on investment for the organizations they work for? All those questions remain controversial in current times, whilst many practitioners and researchers attempt to acquire precise responses in order to explain a broader range of Human Resources activities within organizations.

In this sense, most organizations continuously attempt to grow their human capital in order to face the increasing competition within the business environment in which they operate. Variables such as organizational commitment, employee motivation, benefits systems, reward systems, and many other organizational concepts have arisen as key concepts to retain talents. The majority of the earlier concepts have been controversial and problematic in terms of research and importance in the literature; however, there was a general agreement among researchers that performance is a major factor in organizations to shed the light on when planning to grow. In this sense, many researchers and practitioners have attempted to define “performance” and “performance appraisal” throughout the years. For instance, the notion of performance has been developed by McEvoy and Cascio, according to whom performance is defined as an “accomplishment of assigned tasks” (1989). Other researchers define performance as

“those actions or behaviors that are relevant to the organization’s goals and that can be scaled in terms of each individual’s proficiency” (Campbell, McCloy, Oppler and Sager, 1993).

The Human Resources function has gained a colossal value in Western European and North American since the mid-1990s. In such context, human resource agents and departments have become a “strategic partner” in the management of businesses, improving organizational competitiveness and operations (Brewster, HoltLarsen and Trompenaars 1992; Huselid, Jackson and Schuler 1997; Barney and Wright 1998; Boxall and Steeneveld 1999; Wright, Gardner and Moynihan 2003; Lepak and Shaw 2008). This change translated into a major paradigm shift from traditional performance appraisals into more of “performance management” and “value-added” practices (Cederblom & Pernerl, 2002). This paradigm mainly focuses on shifting the mentality from being mere appraisers into becoming effective coaches oriented towards developmental goals, and is in favor of amplifying the scope of the HR function to serve the shareholders, customers and the community at large, not employees and line-managers. While it is apparent that Western HR professionals have captured the new wave, yet, there is no evidence concerning the existing and/or best HR practices in the Arab Middle East area (Afiouni, Karam and El-Hajj, 2012).

The Performance Management system adopted within an organization is a major tool to ensure higher productivity rates and commitment of individuals to their organizations; hence, it allows them to advance their businesses in addition to developing their potentials and competitive advantage.

“In a knowledge economy, organizations rely heavily on their intangible assets to build value. Consequently, performance management at the individual employee level is essential and the business case for implementing a system to measure and improve employee performance is strong” (Marr, 2006, p. 71-72). Accordingly, performance management systems gain more and more reputation as a means to advance businesses.

Performance management is about identifying, measuring, evaluating, improving, encouraging and rewarding the performance of employees whereby it will manage to determine where the employee currently stands at and where the employee must be in the future. It is a developmental and constructive process that aids employees in succeeding in their work by helping them reach their maximum potential. Performance management ought to be a transparent process that holds no surprises for employees; this requires not only good management, but also a good level of communication. When employed properly, performance management is a systematic examination and measurement of individuals’ performance that is often used to improve performance over time.

Many organizations do not value the importance of recognizing and rewarding good performance, which is why they stop the performance management process on the ‘reviewing’ step; every organization should bear in mind that performance management is a holistic process whereby all aspects of performance are important and all steps of the process complement each other. Moreover, a good performance management system cuts along the whole Human Resources Management cycle by integrating all of its functions together. Performance management is not the sole responsibility of Human Resources; rather, the Human Resources Department acts as a facilitator whereby the

main responsibility is that of departmental line managers as they are in a greater contact with their respective employees (Mabey, Salaman, & Storey, J., 1998).

CHAPTER II

LITERARURE REVIEW

A. Origins of Performance Appraisal Systems

The notion of performance evaluation has dated since the time of Aristotle (Landy, Zedeck, & Cleveland, 1983) and has significantly grown over the last thirty years in organizational contexts. The most primitive performance evaluation program has originated in the United States of America when the US military conducted various evaluations of the existing soldiers during the phase of the birth of the republic.

In their turn, Armstrong and Baron have defined performance management as a “process used to identify, encourage, evaluate, improve and reward employee performance” (2000). Here, identification refers to plotting the objectives of the appraisal, identifying the needed skill sets and deciding on the competencies in line with the organizational strategy and goals. The encouragement phase involves supporting employees to perform better at all stages of their work. The measurement phase refers to establishing performance measures and objectives in order to ensure their completion. The evaluation phase corresponds to ensuring continuous feedback and evaluation of the skills and behaviors performed on the job. The improvement phase consists of developing improvement plans based on the previous evaluation. And finally the rewarding phase corresponds to rewarding performance.

Accordingly, the PM concept grew from being a mere evaluation into more of a formal Performance Appraisal System that applies in most organizational settings. According to the literature, a Performance Appraisal System (PAS) is defined as a key systematic organizational process entitled to continuously manage and develop individuals based on an identification of performance standards as well as core competencies, and accordingly a comparison of individual performance to those standards (Lee, 1985; Eberhardt and Pooyan, 1988; Baruch and Hartel, 1993; Fletcher, 2001; Tizner et al., 2001; Levy and Williams, 2004; Ferris et al., 2008). Performance appraisal systems are the basis of various business decisions that directly affect the life of the organization and its existence. Rewards, promotions, training and development needs, compensation reviews, competency modeling, HR program evaluations, and feedback and grievances are all practices that have at their core a clear and well-developed PAS. Such a well-organized system often initiates performance standards based on which evaluations of individuals' performance are generated, and prominent decisions are taken (Cleveland, Murphy, & Williams, 1989; Latham, Skarlicki, Irvine, & Siegel, 1993; Sulsky & Keown, 1998).

Performance appraisal is gradually becoming part of a strategic approach of incorporating various HR activities and professional practices within a business environment. Accordingly, performance appraisal may now be perceived as a “generic” term comprising a selection of activities through which “organizations seek to assess employees and develop their competence, enhance performance and distribute rewards” (Fletcher, 2001).

Thus, both practitioners and researchers have diverged from a narrow emphasis on “psychometric” and mere evaluation concerns to more “developmental”

performance appraisal (Fletcher, 2001; Levy and Williams, 2004). Such a shift may be identified as an effort to enrich attitudes, skills, and experiences that advances the effectiveness of employees within organizations (Boswell and Boudreau, 2000).

B. History and Evolution of Performance Appraisal Systems

When it comes to the main sources of appraisals, a progressive expansion has been identified since the 1980s until today's application. In the 1980s up until the 1990s, the primary sources of appraisals were mostly "supervisory" and "self-appraisals". In the 1990s, a major innovation was brought to PAS, that of subordinates evaluating their superiors. During this period, no multisource techniques were used to appraise performance (Fletcher, 2001). The literature suggests several types of PAS that have been used and some that are still applied in most organizations. Those include the essay appraisal method, the straight ranking method, the paired comparison, the checklist method, and the forced distribution, the Management by Objective (MBO) established by the management theorist Peter Drucker in the 1950s, the assessment centers, and the behaviorally anchored rating scales.

The majority of those types of measurement adopted in organizations today are often established based on a set of existing techniques such as the graphic rating scales, the behaviorally anchored rating scales (BARS), behavioral observation scales (BOS), mixed standard rating scales; and most importantly the recent management by objectives (MBO). Grounded in deep analysis and research of the available appraisal methods, goal-based appraisal systems have proven to be the most successful; where

employees' work performance is generally evaluated against pre-set goals (Dorfman, Stephan and Loveland, 1986; Locke and Latham, 1984, 1990).

In the past few years, HR practitioners demonstrated an emergent interest in “non-traditional” appraisal systems (Coens and Jenkins, 2000; Lawler, 2000). Those are less structured appraisal systems than the traditional models. Such systems introduce developmental meetings with employees and open communication channels rather than ratings and rankings. Continuous and ongoing feedback on performance is promoted rather than mere single annual performance reviews. A study conducted by Bladen (2001) suggested that those new approaches to Performance Appraisal are increasing in popularity; however, most organizations, which have adopted such systems, have established “hybrid models” that still preserve several aspects of the traditional systems (Bladen, 2001). Those newly introduced models suggest more developmental activities that allow individuals, such as managers and subordinates to engage in additional career planning meetings, discussions and further dialogue in relation to performance. Moreover, those new approaches emphasize the notion of performance management as a process and not only performance appraisal.

The shift from traditional to more modern appraisal systems translated into a shift from individualistic and control-oriented guiding values into more of systematic and developmental ones. Moreover, traditional appraisal methods were occasional appraisals emphasizing directional and evaluative leadership styles, in contrast to the modern approach to appraisals that are conducted more frequently and accentuate coaching along with facilitative leadership styles.

C. Performance Appraisal: A segment of an Ongoing Process

When people talk about performance management, they directly denote the employee performance appraisal or review. Nevertheless, performance management implies so much more. Accurately assembled performance appraisals often embody a summary of an ongoing, year-round discourse. Concentrating on a mere annual appraisal form leads to misapprehending and under-valuing the benefits of performance management as an overall process. In fact, first, performance management is not only concerned with filling out an appraisal review form and submit it to HR, it encompasses so much more; it is an ongoing process that requires planning, coaching, reviewing, and establishing good rewards systems to motivate employees for future performance development (Rudman, 2004). Second, conducting performance review meetings with employees once a year would not serve the main purpose of the performance management process. Instead, feedback should be provided all over the year to employees as a means to monitor their performance and suggest improvements.

Fonseca, Burkgren and Sheridan (2009), from Cornell University, have developed a formal Performance Management model that highlights all the major phases essential for the effective and efficient evaluation process. This model was established based on exhaustive research and extensive investigations. According to the suggested Performance Management Process model (Fonseca, Burkgren & Sheridan, 2009), the process starts first, with developing a performance plan, second, monitoring and assessing performance, third, evaluating performance and developing skills, fourth, recognizing and rewarding performance. The whole process is often accompanied by continuous coaching.

The first step of the performance management process consists of performance planning. At that stage, strategies are set and goals are established, aligning those to the organization's mission and values. It is worth noting here that PAS are not universal; they cannot be systematically applied to all organizational contexts, correspondingly, they have to be tailored to match the organizational goals, characteristics and orientation (Latham and Mann, 2006). In fact, effective Performance Appraisal Systems are typically developed based on a clear job description and a vibrant competency model relative to each specific organization, in order to align individual performances to the organizational expected performance, and thus, support the overall organizational goals and strategy. Those appraisals include both subjective and objective components based on the discretion of the method applied, however, with an emphasis on objective evaluation (Landy & Farr, 1983).

Accordingly, aligning the individual goals of employees with the overall strategy and business strategy of the organization is an essential tool to ensure success since the early planning phase. One way of doing this is through aligning the content of performance appraisals with the organizational goals. In fact, it is vital for organizations to clarify and clearly communicate their goals and strategies in order to ensure that their employees recognize what is central to the organization's bottom line and direct their efforts towards making the company successful. By applying a performance appraisal system, organizations guarantee that their human capital is on track following well-known goals that are supported by the organizational goals. Furthermore, management will have the tools to formulate informed professional decisions grounded in the achievement or non-achievement of the pre-set renowned goals. Why dissipate valuable human capital pursuing goals that are not aligned with those of the

organization? This will result in a dreadful waste of resources that might hinder the completion of other contributions designed to achieve real business goals. This is the responsibility of the managers to communicate the business strategy and organizational goals to their employees and create measurable goals that will brace the overall organization's objectives. Clearly communicating strategic business objectives is the first step to building alignment. Making the goals visible and understandable to all furthers alignment. The main job expectations and accountabilities should act as the core model and reference when setting goals. Besides, some organizations opt to embrace competencies within their performance expectations, as a means to strengthen the link to the business strategy and goals. In fact, competencies serve as the point of integration for all Human Resources systems.

The planning phase is then followed by an assessment phase in which ongoing feedback is provided to employees, performance feedback is often gathered and shared during annual performance meetings. At this stage performance appraisal is used to measure employee performance against the goals, standards, and competencies previously listed in the employee's performance plan. Following the appraisal phase, development of skills and career development plans should be established in order to ensure the continuous development of employees within the concerned organization. Finally, the outcome of the performance management process results in recognizing performance and linking performance to motivational endeavors.

D. Performance Appraisal Systems: The purpose

Boudreau (2000) investigated and analyzed two distinctive performance appraisal applications: evaluative and developmental. On one side, the “evaluative role” comprises the use of performance appraisal for the administration of remunerations and salary adjustments, reward decisions, promotion decisions, retention- termination-layoff decisions, and the assessment and recognition of individual performance; whether good or poor performances. This was conceptualized as the “administrative” performance appraisal purpose (Ostroff, 1993). On the other hand, the “developmental function” consists of providing continuous performance feedback to employees, identifying individual training needs, making transfer decisions, amending assignments and roles, human resource planning, in addition to identifying the strengths and weaknesses of each individual intending to initiate future developmental plans.

Similarly, Baruch (1996) emphasized the use of performance appraisal systems for two main purposes. First, performance appraisal systems are used to perform a range of “management functions” such as decision-making in relation to promotions, training needs, and wages. Second, they are employed to improve the “developmental process” of individuals by considering performance appraisals as an evaluation tool.

This being said, performance appraisal systems are more than simply an archive of yearly performance reviews. It is an important tool to plan for future decisions. For instance, superiors can examine employees' skill sets and gather information through a performance appraisal system to design training programs for employees who display skill gaps, predict readiness for promotion, select potential successors, proceed with succession planning for internal candidates along with

reinforcing difficult decisions when layoffs emerge throughout stimulating economic eras.

Moreover, when effectively instigated, performance appraisals often result in a wide range of benefits for the organization as a whole, managers, and employees. At the organizational level, properly implemented performance appraisals and performance management practices result in supplementary savings, increased accuracy and accountability, elevated levels of productivity, better business performance, improved communication and retention of good talents. At the supervisory/managerial level, accurately applied performance appraisals lead to time savings in terms of conflict resolution for instance, fostered accountability, fuelled efficiency and consistency while dealing with subordinates, and consequently better performance standards. Finally, at the level of employees, a well-structured appraisal system result in the clarification of expectations, improved self-assessment, enriched performance, wider career paths and elevated rates of job satisfaction (Waldman, Bass, & Einstein, 1987, 179).

CHAPTER III

EMPIRICAL STUDY: THE CASE OF THE AMERICAN UNIVERSITY OF BEIRUT

A. About the American University of Beirut

Not only has the American University of Beirut managed to attract students from both the country and the region as one of the most reputable academic institutions in the Middle East, but also it has been one of the people's first choices when seeking

employment opportunities. The American University of Beirut was established in 1866 comprising about 700 instructional faculties and 8000 students today. One of the main reasons behind the strength and dynamicity of the university is the huge expansion that AUB went through during the past years. Its clear mission states that “the American University of Beirut (AUB) is an institution of higher learning founded to provide excellence in education, to participate in the advancement of knowledge through research and to serve the peoples of the Middle East and beyond. Chartered in New York State in 1863, the university bases its educational philosophy, standards, and practices on the American liberal arts model of higher education. The university believes deeply in and encourages freedom of thought and expression and seeks to foster tolerance and respect for diversity and dialogue. Graduates will be individuals committed to creative and critical thinking, life-long learning, personal integrity, civic responsibility, and leadership" (American University of Beirut). In attempt to ensure the proper implementation of its mission, five core values were set for the institution; those are available on the University’s website:

- a. Personal Integrity
- b. Accountability
- c. Respect for Diversity
- d. Continuous Learning and Development
- e. Freedom of Thought and Expression

By providing excellent education, a high research quality, leadership and integrity, committing to service and constantly striving to enhance quality, the vision of AUB is to be an academic pioneer of higher learning in the Middle East. For this

reason, five core competencies were set as pillars to direct AUB towards achieving its vision:

- a. Client Focus: Providing service excellence to both internal and external clients.
- b. Communication: Clearly conveying and receiving messages to meet the needs of all. This may involve listening, interpreting, formulating and delivering information.
- c. Initiative: Identifying and dealing with issues proactively and persistently seizing opportunities that arise.
- d. Organizational Awareness: Understanding the structure and culture of the organization.
- e. Teamwork: Working co-operatively and productively with others to achieve results.

B. The Current Performance Appraisal Process at AUB

1. Performance Management at AUB: An Overview

The Human Resources function at AUB endorses Performance Management as a continuing “two-way communication” process between the employee and his/her direct supervisor. HR stresses that Performance Management goes beyond filling out an appraisal form at the end of the appraisal period. However, how this is applied is another question. The main focus in this section is to describe the process as per the policies and procedures of the University’s HR function.

The process intends to improve individual, departmental, and overall organizational performance by helping align individual and departmental goals with the overall mission and goals of the University. Performance Management facilitates the process of setting specific employee performance goals, expounding expected performance standards, enhancing commitment to these prospects, and nurturing coaching, mentoring, and feedback processes.

The university's policies and procedures dictate that performance management is a process that should start at the level of performance planning. Performance management usually takes place at the beginning of the review period and involves setting performance expectations that are aligned to the organizational objectives. The second level of the performance management process involves both coaching and mentoring throughout the review period; this requires regular meetings with employees in order to provide them with the appropriate feedback that is required for future developmental improvements. The third and final level of the process is the performance appraisal which takes place at the very end of the review period. The performance appraisal is in turn a miniature process within itself that involves generating practical performance appraisals, running appraisal interviews, reviewing past accomplishments and setting future performance plans. This performance management process might result in identifying training needs and accordingly establishing future developmental plans.

Supervisors are expected to conduct a performance appraisal for employees and workers upon the completion of their probationary period which lasts for three months from the date of employment and another one to be done annually during the

month of June. The performance appraisal process at AUB starts prior to the appraisal year (July-June) where performance plans are set for the whole appraisal period. However, employees at AUB are not often involved in the planning process which hinders the success of the whole process and impacts the performance of the overall institution. Supervisors should be held accountable for any deficiencies in the performance planning stage through day-to-day management and constant documentation of performance. At the end of the appraisal year, supervisors are expected to complete the appraisal form, review it in coordination with upper management and discuss it with the concerned employees. Two distinct forms are used to evaluate the performance of the employees:

- Supervisory form: (Appendix I)
- Non-supervisory form: (Appendix II)

The performance appraisal system that is currently being adopted by AUB follows a five-point rating scale:

1= “Poor Performance”

2= “Below Expectations”

3= “Meets Expectations”

4= “Exceeds Expectations”

5= “Outstanding”

The performance appraisal system at AUB is clearly not based on a competency model because both managerial and non-managerial levels are similarly assessed disregarding the specific level of competencies that need to be inversely rated

among the different levels of tasks, duties and responsibilities. In reference to the performance evaluation basic policy (American University of Beirut), the performance appraisal procedure is described in Appendix III.

An effective performance management system is by origin designed to support pay decisions, promotion decisions, employee development decisions, layoff decisions, etc. More specifically, the main aim behind developing and implementing performance management within organizations is either for decision-making purposes or mere development purposes. When performance management is used for decision-making, evaluation would be directly linked to merit increases, promotion decisions, transfers, job enrichment, layoffs, and many other administrative HR decisions. When the performance management system is exercised for developmental purposes, it would be linked providing training opportunities, career development counseling, and mentoring, additional educational prospects that employees would be engaged in a means to develop their capacities and work abilities. In both cases, AUB lacks linking the performance management appraisal results to any of those purposes. In fact, as per the testimonial of a senior management staff at the university, AUB often lacks the budget to make decisions on salary and merit increases based on performance, is regularly unable to link the performance management process to any relevant motivator as it only punishes bad performers without any reward granted on the other side for good performers.

The above is a general description of the practices that occur at AUB in all non-academic departments. The appendix III shows the Policy at AUB that administers the Performance Management practice.

While the performance management process at AUB is hypothetically well constructed at a high level (policies, procedures, timing, etc...) and core competencies and values exist, however, the way they are actually carried out does not reflect or produce in any way the vital desired outcomes as their integration into HR processes does not exist.

C. The scope of the study

1. Research Objective

A one-year study was carried out amongst the Non-Academic and Management employees at the American University of Beirut. The objective of the project is to explore the perception of the university administrative staff concerning the process of appraisal as it is utilized in their institution, in particular, in relation to the Performance appraisal tools used throughout the process; in order to recommend future improvements to the Performance Appraisal tool and the PAS in general, as a means to align it with the university core competencies and apply it to the various job descriptions and job families that operate within AUB. Moreover, the study aims at developing a new competency model that would serve as the basis of many HR activities, in particular the Performance Management Process. Here, new job families will be established, along with relative sets of competencies and competency levels that are required to be demonstrated on the job at the University.

2. *Methodology and Sample Selection*

The participants consist of one working adult sample made up of the American University of Beirut operational, professional and managerial staff. In fact, since the American University of Beirut (AUB) is an academic institution, a distinction is made between the faculty members and those employees who are engaged in administrative tasks; the analysis focused on the subsequent assuming supportive administrative duties in departments such as Finance, Information Technology, Human Resources, Auxiliary Services, Communications, Registrar, Admissions and Charles Hostler Sports Center as opposed to the former who are actively engaged in teaching and research. Non-Academic and Management staff within the institution are distinguished between those assuming “Non-Supervisory” roles/staff (grades 1 to 12) and those who are engaged in “Supervisory” roles (mostly grades 13 and above). Grade 13 and above consist of employees with professional jobs. Excluding some minor exceptions, all employees who perform professional office work are grade 13 and above. Employees below grade 13 are mainly workers. In this regard, the input of both, those with supervisory roles who evaluate the performance of their subordinates and those who are being assessed, would be beneficial to get an in-depth grasp of AUB employees’ perception and opinion regarding the current appraisal system adopted within the institution. Moreover, throughout the research, further information for improvement regarding the actual PA system is gathered, in relation to the scoring system itself, what it scores, competency modeling, tying to rewards, etc.

To optimize the findings, both quantitative and qualitative methods of data collection and analysis were exploited. The “triangulation” approach applied throughout the study portended that investigators may depend on numerous sources of data rather than a mere one (Churchill, 1995). Hence, the research methodology consisted of

assembling data via a variety of instruments including literature review, a survey with those who do not carry supervisory responsibilities but are being assessed, in addition to individual “semi-structured interview protocols” with employees who assume supervisory roles in the institution (Ackroyd and Hughes, 1992). Then, after identifying the major problems of the appraisal tool used at AUB, a benchmark was carried out referring to several Performance Appraisal methods adopted by other similar Universities abroad as a means to depict trends that are followed in this regard. This would result in developing a new competency model that is aligned with the available job families and the existing core competencies at AUB (Client Focus, Communication, Initiative, Organizational Awareness and Teamwork). Such a model would be the basis to develop the existing performance appraisal tool in order to accommodate the needs of managers, improve individual performance and consequently the organization’s performance. All this would lead to the success of the business and the growing commitment of employees to their institution.

3. *Data Collection Methods and Measures*

a. Literature Review

The study was instigated by the examination of the available sources in the literature regarding the topic in hand. This comprised the existing literature on general management practices, human resource management and performance appraisal models, approaches and other related resources, in order to breakdown areas of concern in the current AUB performance appraisal system. The intensive literature review offered a better understanding of the progress of the topic under study, concurrently; the initial analysis of the secondary data paved the way to an improved insight of the framework

of the applied performance appraisal. The understanding and insight initially acquired allowed the investigator to plan and come up with an all-encompassing survey questionnaire which was piloted first and then applied to a wider sample of employees within the university assuming non-supervisory functions.

b. Survey

The primary data was gathered by applying a “cross-sectional” data collection tool utilizing survey questionnaires (Ackroyd and Hughes, 1992). The survey was initially developed based on the various and essential PA components discussed in the literature in order to measure the performance appraisal practices and activities within AUB. The survey consists of 34 items followed by 6 open-ended questions measuring the level of satisfaction of employees in relation to the Performance Appraisal tool used to assess their performance, as well as their concerns and potential improvements that need to be combined with the existing tool in order for it to suit the underlying principles of conducting a performance appraisal.

The items are designed in a way to collect data that cover all the different facets of the subject and come up with an overall understanding of the performance appraisal system used at AUB. Moreover, the questions were designed in a way to identify and locate the major flaws in the system that requires further improvement. Some of the Performance questions tackled the following areas: “What do you expect from an appraisal? “Are you given a chance to rate your own performance?”, “Is any Post-Appraisal interview/follow-up conducted to monitor the progress of employees?”

In total, three hundred and seventy four (374) survey questionnaires were randomly disseminated to staff employees holding non-supervisory roles across the various

faculties and departments within the University. One hundred and fifty four (154) responses were received back and analyzed. The effective response rate of the survey is around 41%.

c. Interview Protocol

Additionally, and in order to generate valuable qualitative data, 10 semi-structured interview protocols were conducted with key individuals carrying out supervisory positions (Heads of departments) within the University in an attempt to obtain the organizational perspective vis-à-vis the current appraisal system adopted at AUB and the required competencies to perform the job as per the required standards. Those interviews serve on top as a key tool to assess the expectations of managers and supervisors in relation to the considered components/competencies compared to the offered ones. In addition, throughout those interviews, the interviewees were able to provide their opinion regarding the existing PA form and provide their feedback concerning the major defects they perceive in the tool. Moreover, potential suggestions for improvement in the current assessment tool were as well tackled in some of the established questions. Accordingly, the main purpose of this data collection method is to generate information and suggestions from appraisers regarding the desired standards and criteria, the applicability of the appraisal system as well as the prospective improvements to the process.

Those interviews ensure a higher rate of response rate, in addition to reducing any possible ambiguities in relation to the questions asked in the surveys as a means of validating the data previously gathered through the survey questionnaires.

4. *The Procedure*

AUB participants were contacted through e-mail to inquire whether they are willing to participate in the study. With respect to collecting data from AUB staff, the researcher has established contact with the President, the former Chief Operating Officer and the Interim Director of Human Resources to gain approval for and access to data points. Non-supervisory staff filled an online survey via the open source on-line survey application Lime Survey. Managerial and Professional staff (Heads of departments) participated in an interview protocol following formal appointments scheduled with them via e-mail. As the study is conducted in the American University of Beirut, the language of instruction and communication among employees is English, accordingly, all tools were developed and conducted in English.

D. **Research Findings and Results**

The response rate is 41% with a total number of 154 survey questionnaires mailed back through Lime survey Software. Those 154 questionnaires were completed and accordingly retained for further data analysis.

The participants in the survey consisted mainly of employees holding no supervisory roles, who are often conducting administrative duties in the various departments of the University. Respondents were distributed as such: 48 % of employees are in grades 1 to 12, and 52% are employees in grade 13 or above as shown in table 1 below.

TABLE 1
Grade distribution of AUB respondents

Grade	Respondents	Percentage
Grade 1-12	29	48 %
Above Grade 12	31	52%
Total number of Respondents	60	100%

Moreover, the respondents' distribution across departments was as follows: the utmost percentage was from administrative departments (87%) including Student Affairs, Advancements, Development, Auxiliary Services, Communications, Comptroller's Office, Finance, Office of Grants and Contracts, Housing, Enrollment Management Unit, Human Resources, IT, University Libraries, Office of International Programs, Office of the Provost, Procurement, Registrar, Regional External Programs and many others administrative departments. This high response rate from administrative departments was followed by faculties (13%) encompassing respondents from the Faculty of Engineering and Architecture, the Faculty of Arts and Sciences, Suliman S. Olayan School of Business, the Faculties of Health Sciences and Agricultural and Food Sciences. A lower percentage of responses were detected from the faculties as most of the faculties within the University encompass a greater number of Faculty members engaged in teaching and research, which goes beyond our field of study. The results are illustrated in table 2 below.

TABLE 2
Distribution of Respondents Across Departments

Faculty/Department	Number of Respondents	Percentage
FAS	5	3.25%
FAS	2	1.3%
	6	3.9%

FHS	3	1.95%
OSB	4	2.6%
School of Nursing	0	0%
Administration	134	87%
Total number of Respondents	154	100%

In line with our aim to analyze the existing performance management practices within AUB, and come up with future recommendations to enhance the adopted tool of appraisal, the survey questionnaire served as a means to depict certain trends followed in relation to performance management in general and the specific performance appraisal process. In this sense, an over-all agreement (100%) was highlighted across respondents concerning the annual conduction of performance appraisals within the institution mainly by the immediate supervisor (93%), with few (7%) allowing self-rating. This general agreement confirms the general policies and procedures governing the appraisal process within the University as shown in Appendix III according to which the “formal appraisal of the performance of Employees and Workers [is] conducted [...] annually during the month of June.”

1. The perception of AUB staff members regarding the current Performance Management Process

At large, employees' perception regarding the existing practices of performance management at AUB can be described as towards dissatisfaction as concluded from the table below.

TABLE 3
Summary of the perception of AUB staff members regarding the current Performance Management Process

Statement	Strongly Disagree	Disagree	Neither Agree nor Disagree	Agree	Strongly Agree	N/A	No answer
I am satisfied with the performance appraisal system at AUB	25.00%	46.7%	10%	15%	3.3%	0%	0%
The performance appraisal system at AUB is a good method of communicating with top management	30.00%	38.3%	13.3%	11.7%	1.7%	1.7%	3.3%
The objectives of the appraisal system are not clear to me	5.00%	28.3%	20%	26.7%	16.7%	0%	3.3%
I am aware of the performance standards expected from me when completing my job duties	5.00%	8.3%	5%	43.3%	33.3%	5%	0%
The standards based on which performance appraisal has been developed are not clearly communicated to employees prior to conducting the appraisal	1.7%	21.7%	16.7%	30%	23.3%	1.7%	5%
I am aware of the competencies based on which my performance is evaluated	10%	20%	16.7%	31.7%	15%	1.7%	5%
The performance appraisal tool is successful in giving clear understanding of the appraisee's duties and tasks	13.30%	30%	15%	26.7%	10%	0%	5%

The performance appraisal tool is not successful in giving a clear understanding of the appraisee's expected performance	8.30%	23.3%	5%	30%	25%	3.3%	5%
Going through a performance appraisal is a good way of aligning employees to the business goals	6.7%	11.7%	15%	50%	8.3%	1.7%	6.7%
The rating system used in the appraising tool is not clear to me	1.70%	36.7%	11.7%	33.3%	11.7%	0%	5%
I am given the chance to rate my own performance	20%	38.3%	11.7%	13.3%	6.7%	5%	5%
I believe that self-rating makes the appraisal process more realistic	1.7%	13.3%	18.3%	41.7%	18.3%	1.7%	5%
I should be given an opportunity for self-rating throughout the appraisal process	1.7%	5%	21.7%	38.3%	26.7%	5%	1.7%
I believe that self-rating allows me to improve my performance	3.3%	16.7%	8.3%	48.3%	18.3%	1.7%	3.3%
I can express my comments and concerns during the appraisal process	13.3%	25%	26.7%	25%	8.3%	0%	1.7%
My concerns are taken into consideration when expressed throughout the appraisal interview	11.7%	38.3%	20%	16.7%	6.7%	3.3%	3.3%
No complaint channel is developed for dissatisfied employees regarding the Performance Appraisal system at AUB	3.3%	10%	21.7%	31.7%	23.3%	1.7%	8.3%
A post-appraisal interview/follow-up is conducted to monitor the progress of employees	23.3%	30%	15%	10%	3.3%	6.7%	11.7%

Their perception is identical irrespective of the department, the grade level and the title of staff members. In fact, both the survey conducted with non-supervisory staff members and the interview protocols run with heads of departments and executive staff show the same levels of dissatisfaction with the current performance evaluation routines. In fact, 81.7% of surveyed staff members and 10 out of 10 of the interviewed heads of departments expressed their discontent with the adopted performance appraisal system at AUB. All interviewed participants highlighted the major drawbacks of the existing performance management practices and the adopted performance appraisal tool, and were unable to depict except few benefits of the construct under study. The few benefits were limited to: having a common form that is adopted across all the departments at AUB, having detailed tasks described in the appraisal form, and having a form that would often serve as a legal document in case of court trials raised against the University. However, all interviewed heads expressed their concern about the vast drawbacks and flaws in the process and the forms used throughout the interviews conducted with them. Some of the repetitive topics include: the performance management process is not applicable as per the policies of AUB, it does not follow any competency model that differentiate jobs and levels of a job and accordingly allows for consistency in the results, the performance standards and objectives are not clarified to employees prior to conducting the appraisal, the evaluation itself is very subjective, especially with the adoption of a numerical rating scale that does not permit any type of performance comparison, the evaluation phase is conducted by a single assessor, and does not allow self-rating, despite the fact that many employees believe that self-rating improves their performance whenever adopted (75% of surveyed employees confirm

this statement), the appraisal form is outdated and does not reflect the actual performance required on the job, the tool does not allow for standardization of performance across the various departments, thus deviates from the institution's mission and vision, among numerous other drawbacks and flaws depicted throughout the interview protocols. Not only are heads and staff disappointed about the process in general, but also they are concerned about the content of the tools used and the lack of proper communication along the process. As a matter of fact, 60% of survey respondents agreed that the objectives of the performance appraisal/evaluation are not clear to them, if not communicated at all to them. In addition, most employees (82%) are not aware of the performance standards expected from them when completing their job duties and accordingly did not receive any clear guideline based on which they can be objectively assessed. This was later on clarified by the interviewed heads of departments who constantly mentioned that all is due to the absence of continuous job evaluation, the non-existence of a detailed process for updating the operating job descriptions that should be normally used as the basis for developing and conducting effective performance appraisals, the outdated tool employed since 2003, and the unavailability of a guiding competency model that makes of the process a standardized one, and the absence of a detailed set of job families that group jobs into sets of similar duties.

In this sense, all of the above was openly indorsed by both, the heads of departments interviewed throughout the data collection phase of the study at hand, and the surveyed staff members who do not hold supervisory responsibilities. Likewise, the heads of departments cannot find a rigorous formula for the standards based on which the performance appraisal tool has been initially developed in 2003. Most of those who

are being assessed (70%) find themselves with no proper guidelines pertaining to performance standards communicated to them prior to conducting the Performance appraisal/evaluation. Here, both appraisers and appraisees are not aware of the standards required, what to expect in terms of the outcomes of the process?

For all the above listed reasons, the current performance management system, and the performance appraisal process in specific, are perceived, by the majority of AUB employees, whether managers or not, as inefficient in serving its real purpose.

In fact, the majority of the interviewed heads of departments emphasized that the previously defined Performance management process, as per the policies and procedures of AUB described on the University's website, has never pertained to any real application on the ground. Hence, it has always remained a set of abstract announcements that have never been put into practice. If truth to be told, and as per the statement of the interviewees, the performance management process at AUB is limited to filling in the existing performance appraisal form and sending it to the Human Resources Department. As a matter of fact, a statement was constantly repeated by almost all interviewed managers which suggested that no action has ever been taken in relation to the outcomes suggested at the end of the process, even if they are few in most cases. In this sense, the results of the interview protocols in addition to the survey questionnaires distributed to a representative sample of the AUB community, clearly illustrates the inapplicability of the "written" performance management process in general as per AUB policies and procedures, the deficiencies in the actual performance appraisal forms used in specific, and finally the absence of solid grounds in terms of job evaluation and competency model that allow for proper implementation of the process as whole.

E. Discussion

1. Evaluation of the results

To start with, the stated policies and procedures available on the website of AUB and illustrated in Appendix III and IV concerning performance management do not match the activity on the ground. The policy suggests that “performance management is an ongoing two-way communication process between the employee and his/her supervisor and it is not just about filling out an appraisal form at the end of the appraisal period [...] aims at improving individual, departmental, and overall organizational performance by helping align individual and departmental goals with the overall goals and mission of the organization. It helps in setting specific employee performance goals, clarifying expected performance standards/results/levels of outputs, enhancing commitment to these performance goals and expectations, and encouraging coaching, mentoring, and feedback processes” (American University of Beirut Website). However, all the above does not apply in practice as validated by the interview outcomes. When comparing the manager’s perception in relation to the existing practices with that of the surveyed staff members who do not carry supervisory roles, a major problem can be identified in this regard. What is problematic here is that the top executive teams and the HR function of the University are aware of the normal performance management processes and rules; however they do not enforce those for implementation.

Also, if we are to compare the actual practices to the philosophy of Performance Management, performance management is defined as “the process used to identify, encourage, evaluate, improve and reward employee performance”

(Armstrong & Baron, 2000). Such a guiding philosophy is weakly validated in the case of the American University of Beirut in multiple aspects. Following the earlier defined model of Armstrong and Baron, below is an analysis of the existing practices and their application in the case of AUB.

1. Identification phase

This phase ideally consists of mapping the evaluation objectives, detecting the skills required to perform the job and establishing a set of competencies; all in all aligned with the departmental objectives in specific and the organizational objectives at large. However, many managers proclaimed that this process is often abandoned, or if exercised, does not abide by any guiding principles or regulations. This being said, whenever applied, the skills needed to perform a certain job are often plotted according to the existing skills of the individuals performing this specific job, rather than the truly indispensable skill set demanded to meet the requirements of the job. Additionally, it was clearly stated that the performance management objectives are never developed in affiliation with AUB strategic goals and/or vision; they are often mapped based on the existing departmental needs and objectives. This again constitutes a major drawback in the view of the leaders of AUB, knowing that most departments within this institution do not have a clear set of goals that are aligned with the organizational vision and prospects. .

2. Encouragement phase

This phase involves reinforcing employees to perform better at all stages of their work. The interview conducted with supervisors at AUB highlights the absence of all types of encouragement or reinforcement practiced in terms of employees' performance within the considered organization. In fact, as per AUB employees, the

most preferred expected outcome from conducting the performance appraisal at AUB is salary and/or merit administration at the end of each fiscal year. However, it is very important to highlight here, as many heads of departments emphasized, that the yearly budget allocated for each department for merit increase does not allow for more than 1-2 % increase in annual salary for each individual within the department. Accordingly, any manager who deprives an employee from getting this minimal merit increase in order to grant it for a top performer would ultimately find him/herself more unjust with good performers, as the difference does not really count. One of the interviewed heads of departments openly declared the following: “when having an annual budget for merit increases that is too minimal, 1 or 2% increase in annual salary for an employee whose salary is LBP 2,000,000, what would a LBP 20,000 or LBP 40,000 increase do for that employee? How can he be motivated with such an increase? How would a good performer be rewarded in comparison to a lower performer? Is it worth depriving the lower performer from this merit increase when it does not reward the top performers? I just see this as very unfair. But I cannot do anything to change this; all we need is more budgets, maybe other options if available.” Any performance management system should be directly associated with potential performance improvement, development plans, open and honest communication, increased employee involvement in the process and self-performance rating. However, both supervisors and their subordinates confirm that all the above is not applied in the case of AUB. For instance, 70% of AUB staff confirm that they are not given the chance to rate their own performance and 57% cannot express their concerns and comments during the appraisal process. Actually, around 80% of surveyed employees believe that self-rating does not hinder performance; rather it leads to performance improvement. Indeed, such an activity

gives both the employee and the supervisor the opportunity to get to know him/herself more and communicate his /her point of view with the other. It opens room for further dialogue between both parties, limits surprises, and makes the entire appraisal process more realistic (78% of surveyed employees confirm that self-rating make the performance appraisal process more realistic).

3. Measurement phase

This phase should be accompanied by a set of measurable objectives and/or competencies developed in order to evaluate performance of individuals. In the case of the American University of Beirut, there are no SMART (specific, measurable, attainable, realistic, and timely) goals or objectives set to follow as per the consensus of the heads of departments. They accentuate the fact that there are no tools or systems used to measure objectives, if existent. Moreover, they suppose that whenever objectives are set, they are set in a subjective way, without any predetermined key performance indicators fusing the process.

Furthermore, the survey results show that the measurement is solely done by one direct supervisor. In the case of a biased or weak supervisor, the appraisal process can be highly affected by his/her single input and the process itself might become biased and/or lacks transparency and reliability.

4. Evaluation phase

This phase involves continuous feedback and evaluation of the needed skills to improve the performance of employees. The survey results and interviews conducted revealed the following flows in the process:

- There is no continuous feedback provided to employees concerning their performance as stated in the AUB performance management policy according

to which “each immediate supervisor will hold follow up meetings on a periodic basis or as needed to provide regular coaching, mentoring, and feedback on the performance of the employee” (Appendix III). Most often the outcomes of the process are not familiar to the employee as most managers (excluding around 5% of them) do not engage in more frequent informal performance check-ins.

- The tendency to make biased decisions on the basis of the most recent memories, this is also known as “availability heuristic”. Most of the feedback that is generated during this process is not constructive and does not lead to any performance improvement or leveraging of good performance.

5. Improvement phase

As mentioned earlier, and as per the statement of nearly all interviewed and surveyed staff members, there is a relationship between the performance management process applied at AUB and employee performance improvement plans. All the interviewed managers support the general agreement conveyed by non-supervisory staff members according to which the end result of the process is a mere rate and few comments or recommendations which are mostly collective and written on all employees’ appraisal forms. Also, they confirm that there is a deficiency in establishing development plans, however, whenever performed; they are not tied to the process itself and do not address the weaknesses pointed out in the evaluation process. Finally, as a result of a good performance appraisal practice, an action plan should be developed by both the supervisor and the employees as a means to pinpoint the achievements of the employee during the current fiscal year and improve and/or achieve better results in the

future. This practice does not apply to AUB's case as well in the vision of the participants.

6. Rewarding phase

This phase is the most critical phase especially in the case of the performance management process at AUB. Currently, the output of the performance appraisal process is a numerical rating that varies between 1 and 5. According to the prevailing policy on performance management, this number directly feeds into a merit increase at the end of each fiscal year. However, this merit increase is cross-organizational and varies from 1% to 5% maximum; which makes of it, as per the accord of all contributors to the study, a non-motivating factor to apply as a result of the performance appraisal process. In fact, they all consider that, on one hand, it is inequitable for top performers (take the case of a LBP 2,000,000 monthly salaried employee, the difference between the 1% and 5% is LBP 80,000. This minor variance, which is the alteration that one would get for being a top performer as opposed to a poor one); and on the other hand, such an increase is largely too nominal to motivate individuals to strive for higher performance. This been said, department heads emphasize the matter that there is no reward system for high performers at the University; in the end, all the employees are getting the same salary increase regardless whether they got a rate of 3, 4 or more. Such a mechanism generates negative returns on the process itself and on the employee him/herself by losing motivation to give more.

Given all the above, it is clear that the primary cause behind the poor performance management process at AUB lies in the Performance Appraisal form itself (attached in Appendix I and II), the absence of a clearly defined set of job families and the lack of a competency model that guides all activities within the institution.

2. *Deficiencies in the Tool used*

As an extension to what has already been mentioned by almost all participants in the study, in terms of the weaknesses of the existing performance management practices at AUB, the actual forms used proved to be vastly inefficient in effectively evaluating performance. In fact, detailed observations and analysis of the existing performance appraisal instrument adopted for the evaluation of employees at the University suggest a clear disconnect between AUB core and required competencies on one hand, and the skills tested by the current Performance Appraisal system on the other hand. The term “skills” is here used since the current forms do not rely on any existing competency model to assess performance. Additionally, many department heads have mentioned that the criteria used for evaluation in the PA document are outdated and do not measure accurate performance attributes required on the job. Moreover, an important element arises when conducting an in-depth analysis of the different sections of the appraisal form. Here, two different forms are used to assess both “Non-Supervisory” roles/staff (mostly grades 1 to 12) (Appendix II) and “Supervisory”/Management staff (mostly grades 13 and above) (Appendix I).

However, the major problem lies in measuring the same criteria in both forms (Supervisory and Non- Supervisory) except for adding the section of “Supervisory/ Managerial Criteria” for those management staff who carry supervisory responsibilities. This constitutes a major drawback as both managerial and non-managerial levels are similarly assessed disregarding the specific level of competencies that need to be inversely weighed among the different levels of tasks, duties, responsibilities, etc. In fact, the participants who had a clear understanding of the basic of PMS were conscious that valuable PA systems often differentiate the behavioral indicators for different

levels/grades in a company. The main problem emphasized by all heads here is the absence of a competency-based performance appraisal practice. With the absence of a detailed competency model differentiating various levels of the same competency depending on the nature of the position or job at hand, the performance appraisal tool would remain unfair, extensive, detailing all the tasks performed by the employee being assessed and presenting most of the time irrelevant information. From here stems the necessity of having an exhaustive competency model that cuts across the various applicable job families, more specifically the job descriptions (if those are updated, which is not the case here). A competency model would be developed and presented in the last section of this paper. In this sense, the criteria measured in the utilized performance appraisal replicates the relative job description duties without adding any value to the assessment, especially that the existing job descriptions remain outdated until present time.

Furthermore, in addition to having redundant criteria for evaluation, the existing forms require from the assessor to provide a relative weight for each and every task performed in addition to a score and a weighted score. Supervisors stress, in this sense, on the idea that a high focus on weights and scores will make the process more complicated to both the assessor and the assessed individual, and will end up with a mere numerical practice that hampers its central purpose.

Furthermore, the current performance appraisal tool adopts the following five-point rating Likert scale (5 = “Outstanding”, 4 = “Exceeds Expectations”, 3 = “Meets Expectations”, 2 = “Below Expectations”, 1 = “Poor Performance”). As advised by the interviewed managers, the adopted rating scale is not defined at any point of the performance management process keeping the definitions open to the discretion of the

assessors. In such a way, the performance appraisal process in itself becomes a subjective process that does not objectively rate or evaluate the performance of employees within the institution.

In addition, the existing performance appraisal tool collects inputs relating to the performance of an employee from one single source, the supervisor. This makes of the process an extremely subjective evaluation that is often open to many biases and errors as stated by the interviewees. In this regard also, self-rating is not endorsed throughout the process despite its numerous benefits as suggested by the survey results.

In addition to all the above listed deficiencies in the used PA forms, there was a general agreement among participants on the lack of objectives setting. With the deficiencies in pre-set goals and objectives, the performance of employees cannot be monitored throughout time; and performance progress cannot be tracked accordingly.

Finally, a number of departments heads suggested that the last part of the PA form is often disregarded, the “Evaluator’s comments and Recommendations” section. However, they believe that this section is very essential in the process; it could be considered as the most important output of the process based on which the results of the process are directly linked to tangible rewards such as monetary ones, promotion, transfer, or other reward as deemed appropriate. Proposing recommendations is essential and no form should be admitted by HR if not supported by those comments.

3. *Recommendations for Improvement*

In view of the flawed existing performance management system and the defective utilized performance appraisal forms, a list of prospective recommendations is

presented below as a basis for advancing the existing performance management practices. All those recommendations are guided by the previously discussed flaws in the PM process and the performance appraisal tools. Those recommendations would grow better and more standardized evaluations of employees' performance, thus, increasing their motivation and sense of responsibility to the working environment in which they would feel that their talents are promptly rewarded.

The recommendations are the following, each responding to a previously detailed deficiency in the system:

c. Recommendations pertaining to the general performance management system at AUB

i. Updating the ongoing job descriptions

Job descriptions are the basis of any job within an organization. They describe the main requirements of the job in addition to listing the major duties to be performed. In this sense, well established and updated job descriptions allow employees as well as their managers to know what is expected from each party in terms of duties and responsibilities (Armstrong and Baron, 2000). In the case of the American University of Beirut, the presence of up-to-date job descriptions facilitates the development of a competency model that makes of the performance evaluation system one that is standardized, applicable and comparable across the various departments within the University.

ii. Introducing an accurate Job Evaluation system

Armstrong and Baron define job evaluation as a process for “assessing in an organization the value of one job in relation to another, without regard to the ability of personality of the individuals currently holding the position” (Armstrong and Baron, 2000). Performance evaluation is often used to assess the actual performance of an employee against an expected performance standards or benchmarks. AUB must use performance evaluation to convey the performance standards and behaviors required from its employees. This can only be achieved when both the appraisee and the appraiser get a clear understanding of the criteria used to evaluate performance. The main drive behind conducting a performance evaluation within this institution is to provide an opportunity for open communication in terms of performance expectations and feedback. Most employees seek feedback in order to acknowledge the expectations of their employer and to mend their own performance as a means of self-satisfaction. An appraisal that is not established on such grounds is likely to be very subjective and missing any type of clear direction for upcoming development.

iii. Accentuating Competency Modeling as a Prerequisite of Performance Management and an extension of Job Analysis

A competency model designed for AUB will make all the HR related processed more standardized and easily applicable to the various job families operating within the University. Accordingly, it is essential to note that job analysis and competency modeling are pre-requisites for any performance management practice, in particular that of AUB. This is logically the first step of performance management

practices, because, if the constituents of the job are unknown, how can an employee's performance possibly be evaluated? Job analysis is, in this sense, a systematic process employed to identify and determine the tasks, duties and responsibilities required on the job, in addition to the necessary knowledge, skills and abilities a person needs to perform the job satisfactorily.

Whereas job analysis (JA) aims at describing and assessing the job requirements, competency modeling (CM) crafts a channel to impact day-to-day employee performance along strategic lines. Although both concepts are often used interchangeably, however, a major difference exists between those two constructs. Sanchez and Levine differentiate both concepts based on six dimensions: "purpose", "view of the job", "focus", "time orientation", "performance level" and "measurement approach". First, while the purpose of JA is to describe and better understand the tasks of the job, the purpose of CM is to influence behaviors and the performance of those tasks along with the organization's strategy. Second, there is a clear contrast in both concepts' view of the "job"; JA perceives the job as fixed item that cannot be altered or changed, however, CM views the job as a combination of tasks to be enacted by employees upon their discretion. Third, similarly, JA and CM have different focus; JA focuses solely on the job itself, without taking into consideration any external forces that might be operating around it or affecting it in one way or another. In contrast, CM focuses on the organization as whole, and supposes that performance across all jobs is guided by specific behavioral themes rooted in the competencies that are directly aligned with the organizational mission and strategy. Fourth, a remarkable divergence stems between both constructs in terms of time orientation, where JA is a descriptive process that focuses on past experiences, while CM is a prescriptive process that

highlights the manner in which tasks should be carried out in alignment with the organizational mission and strategy. Fifth, another difference lies in the dissimilar performance levels tackled by JA and CM; JA concentrates on presenting the “typical” performance levels described in the job description, inversely, CM focuses on highlighting the “maximal” performance level required to reach the optimum of the job. Finally, the last difference between those 2 constructs lies in their measurement approach. JA measures latent traits, however, CM basis its measurement approach on clinical judgments (Sanchez and Levine, 2009). The differences between the two constructs being clarified, AUB would highly benefit from taking a step ahead and base all its performance management activities in a comprehensive competency model.

iv. Ensuring Management "buy-in"

It is essential, for any performance management system to operate, to grant the support of top management teams within the organization. If those do not recognize the prominence and worth of the process, it can lead to constantly delayed or partial appraisals, uncertainty, avoidance of effective performance discussions, and a dearth in honest performance-related dialogues and decisions. In this sense, it is very important for AUB to get the support of the senior executives before introducing any change to the performance management or appraisal process in details.

v. Defining the main purpose of Performance Management and Appraisal

It is essential for AUB to clearly state the main purpose behind conducting performance management in order to ensure the smooth implementation of the process in general, both in terms of management “buy-ins” and employee consent. When asked to rank the expected outcomes of the performance appraisal system adopted at AUB, most of employees ranked “Salary and/or merit administration” the highest. The below table 4 shows the ranking of the expected outcomes from 1 to 6; 1 being most preferred and 6 least preferred.

TABLE 4
AUB employees’ ranking of expected outcomes of the Performance Appraisal Process

Rank	Description
1	Salary and/or merit administration
2	Determination of promotion or transfer
3	Guideline for training plan
4	An insight into your strengths and weaknesses
5	Assistance in goal setting and attainment
6	Decision on layoff

PM approaches that are usually developed to serve too many purposes will end up not serving any purpose well (Mueller-Hanson and Pulakos, 2015). In this sense, when defining the purpose of performance management and/or appraisal at AUB, it is essential to set the specific criteria for evaluation. In fact, different kinds of decisions require different measures. For instance, AUB decisions on annual merit increase are usually based on many considerations such as the available budget; benchmarks on specific jobs, the position of the employee’s grade on the salary curve in comparison to his/her peers, the grade level and performance. In contrast, promotion decisions are

based not only on performance but also the potentials of the concerned employee to go to the next level in his career ladder. Those two different processes require different criteria and different decisions.

vi. Associating performance reviews to training and development initiatives

On one hand, performance appraisals would provide the main motive behind initiating trainings to managers and heads of departments in relation to the main techniques used to assess people. Here, assessors would get the opportunity to receive professional and practical guidelines to evaluate others in the most objective way possible, along with backing them up with the techniques to plan their subordinates' career paths. On the other hand, performance appraisals at AUB, if well administered, can serve as the basis for training needs assessments that would result in future career planning. In this sense, the final outcome of the performance appraisal process ideally results in a detailed description of all the deficiencies in skills and the inability to meet the standard required competency levels of the job. In this sense, training plans can be developed to meet those needs as a means to achieve the pre-set objectives at hand, whether personal, departmental or organizational wide. Many organizations, in particular AUB, should use the appraisal process as a key part of the Human Resources planning process and individual career development plans. In fact, the results of both survey questionnaires and heads of departments conveyed that the actual performance appraisal is not linked to a good training program or quality of workshops and offered trainings remain below their needs. Accordingly, the process should focus more on the career development of employees. At AUB, you can stay in the same grade and get the

same salary many years; even though, during these years an employee has acquired many new skills and degrees or has been involved in new responsibilities.

vii. Mentoring and Coaching

Both mentoring and coaching requires an experienced hand assisting a learner to become more effective in his/her role. Mentoring and coaching are not only essential skills that managers should acquire, they are considered as tools to provide employees with constructive feedback regarding performance enhancement. Here, managers should be initiated to training and development plans that develop their coaching skills so that “feedback” is conveyed in a way that helps people improve performance, making each instance a teachable moment. In this sense, the outcome of performance appraisals at AUB can be best ameliorated and served through associating it to coaching and mentoring initiatives, that make the performance feedback process more realistic and acceptable by the concerned employees.

viii. Breeding open communication channels

In order to get the best out of the performance appraisal process, channels of communication within AUB should be widened, moving away from a top-down flow of communications to a “multi-channel” and open communications process. In fact, performance review should go beyond mere annual formal evaluation onto more of continuous feedback all over the year. Additionally, open communications and decent relationships between managers and their employees, fostering ongoing advice, informal feedback and responsive goal-setting, have much more power on rising

performance effectiveness (CEB Corporate Leadership Council, 2004). In this sense, AUB should engage its managers and heads to adopt a more open communication style that allows employees to voice their concerns during the appraisal process and find ways to improve performance. Moreover, in order to ensure the success of the process and the accomplishment of its goals, the main objectives of the performance management process should be, first, well defined, and second well communicated to all employees within the institution. Consequently, it is very beneficial for AUB to create a better system for that matter; a system that makes the heads/directors/chairs/Deans more aware of the appraisal systems' details and communicate those better to their employees.

ix. Continuous Monitoring and performance check-ins

Having an annual assessment of employees' performance is very beneficial for organizations in terms of legal documentation. However, an annual evaluation is not sufficient to improve performance through providing continuous feedback and advice. So far, most of AUB employees are asked to sign the appraisal form once a year after being informed that it has been completed by the concerned manager. Feedback should not be that infrequent; AUB staff members seek constant performance reviews and guidance in order to improve and align to the organizational goals. A "once-a-year document filled in by a single assessor does not reflect all the strengths and weaknesses of individuals, and accordingly, fails to suggest potential improvements. AUB should strive to make of the process an informal one that becomes part of ongoing habit embedded in the AUB's culture rather than a separate activity.

x. Consider the multidimensionality of Performance in the Middle Eastern Context when developing a model for AUB

Many applied researches and studies on performance have been conducted in the last decades based on the classic position which conceptualized performance as a “unidimensional construct” (Pritchard and Karasick, 1973; Ferris, 1981; Makiney and Levy, 1988; Randall et al., 1999). However, such an approach to performance has proven to be a delusion (Campbell *et al.*, 1993) as many other factors need to be associated to performance. In fact, from the early 1990s many researchers have based their studies on more multidimensional constructs especially when studying the Middle Eastern region (Kalleberg, Marsden, 1995; Somers, Birnbaum, 1998). This been said, PAS adopted to evaluate performance AUB should reflect the multidimensionality of the construct.

xi. Consider the impact of AUB Organizational Culture on Performance Management Practices

It is well known that performance management practices are highly influenced by the organization culture (Kotter, 2008). When first starting the study, the organizational culture of AUB seemed to be very far from any Western or Middle Eastern culture, as the university is an American Institution that is doomed to international and/or American standards. However, after conducting further interviews with the heads of various departments at AUB, a sharper picture of the cultural factors operating within the University has been drawn, changing the whole initial image. As they have suggested, AUB organizational culture pushes for individualism, high power-

distance, great uncertainty avoidance, nurturing practices and short-term planning (Hofstede, 1991).

Throughout his works on performance, Hofstede branded the Middle East, the environment in which AUB currently operates, as having a culture characterized by robust uncertainty avoidance and great power-distance. First, “uncertainty avoidance”, being “the degree to which one prefers structured over unstructured situations”, is highly reflected at AUB (Hofstede, 1981). Accordingly, performance appraisals should often eliminate the fear of uncertainty by offering direct and consistent monitoring to employees associated with constructive feedback (Husted, 2000). Given the research context, it is obvious that a systematic planned performance appraisal might moderate nervousness and reduce uncertainty at AUB (Bagchi et al., 2003). Second, “power-distance” is “a measure of hierarchy: the extent to which a society accepts the unequal distribution of power” (Hofstede, 1981, 1991; Hofstede et al., 1990). The interviewed managers have confirmed that AUB has vastly hierarchical inclinations where detailed work direction is favored.

Following Hofstede’s theoretical framework, the below table 5 provides an explanation of the operating organizational culture at AUB as per the perceptions of the interviewed heads of departments and the analysis of the survey responses.

TABLE 5
The Application of Hofstede’s Cultural Aspects on AUB

Hofstede’s Cultural Aspect	The application of the cultural aspect at AUB
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Individualism vs. collectivism	AUB cherishes individualism in all its aspects, although sometimes it seems to emphasize the importance of teamwork, however, in reality, it only favors decentralization. The main focus of the institution is to emphasize employee respect and provides those with a healthy environment along with advanced benefits systems. By focusing on the individuals' well-being, unconstructive competition arises, and thus, hinders any attempt to develop a communal work environment.
Power Distance	<ul style="list-style-type: none"> • The management teams at AUB are highly distanced from the employees, no cooperation is eased between those two entities. • Each manager (or Vice President in particular) among the various departments/units acts as he/she possesses the organization. • Employees are never encouraged to address their concerns or opinions to higher management; they are even sometimes prohibited from voicing their concerns. • AUB is characterized by an elevated level of bureaucracy which often translates in a futile "chain of command".
Uncertainty Avoidance	AUB strives for uncertainty avoidance and AUB existing format does not encourage initiatives and bound creativity and innovation in most of its activities. New ideas are almost never transformed into realities. AUB administration values the old way of doing things as the safest way.
Achievement vs. Nurturing	This is one of the most important aspects of culture that hinders performance. AUB cultivates "nurturing" as opposed to "achievement". This can be observed through the flat benefit and compensation system that applies to all employees, irrespective of their achievements. Moreover, being an academic institution, it supports devotion more than high performance. Additionally, performance evaluation is highly subjective with information gathered from one single input.
Long term vs. short term	AUB is short-term sighted. It mainly focuses on short term plans rather than long term planning in most cases.

Based on the above, AUB's culture advocates underperformance and performance appraisal has become more of an obligation rather than an added value to the institution.

Below are some recommendations to shift the culture of AUB from being one of underperformers to more of a collectivist and advanced institution:

- Reduce bureaucracy by all means and bring management closer to employees. This requires an entire restructuring of the administrative entities within the University in addition to more flexible line of commands.
- Constantly encouraging employees to do better by creating a sense of urgency.
- Move the focus from “inside” to “outside”. AUB should be focusing more on external constituencies and the market rather than just focusing on internal issues. AUB should follow the emerging trends not just rely on its heritage, in order to be able to face competition.
- The Compensation System should be as well altered in order to match the new culture. The compensation system should be transformed into a “pay-for-performance” system where bonuses, benefits, merit increases are performed based on performance rather than being unified for all employees.

d. Recommendations pertaining to the Format and Content of the Performance Appraisal tool/form

Following the above general examination of the current performance management process adopted at AUB, it is evident that the entire process needs to be re-designed. Controls should be enforced. The objectives of the performance management process should be well communicated and managers should be trained to objectively rate staff. The main part of the performance management process that defeats it is the performance appraisal phase. The failure of this process lies in the poor document used to evaluate performance. Below are some recommendations for improvement in the PA

form utilized, in order for it to be more motivating for all concerned parties, not just a duty to submit:

i. Linking the Performance Appraisal outcomes to a purpose

The form used to assess the performance of AUB staff is not user-friendly for the person conducting the evaluation. Many confirm that it is a “waste of time”, since the end result does not relate to any kind of decision concerning promotion, salary raise, training opportunity, development plan, etc. In the case of AUB, all those decisions are often determined based on personal connections and good relationships with superiors and decision-makers. Moreover, the majority of the interviewed heads of departments have confirmed that the results generated from the performance evaluation process at AUB does never translate into effective decisions on promotion, reward, career planning, training offerings, etc. Both, the interviewed head and the surveyed staff members reinforced the idea that the appraisal forms are never reviewed by HR for potential performance decisions; this makes this exercise a yearly ritual with no outcome. Here, it is the responsibility of both heads and the HR function to link the appraisal outcomes to a specific purpose.

ii. Securing Fairness and Stability in the measures

One of the foremost problems surfacing the performance evaluation process at AUB is the choice of the measures to be selected. Often time, the measures are either not related to the employees and/or to the organization or inequitable since they gauge

one noticeable aspect and overlook the others. For instance, when the measures are set, they are usually based on biggest of main departmental need or project at hand without taking into consideration that this need or project operates among various other neglected factors. It is recommended here to balance SMART goals and/or with the competencies required. This would be is easily attained by defining the most important objectives of the department on the basis aligning those with the mission of the concerned department and the organization.

Performance measures have to be valid and reliable, acceptable and feasible, specific, and based on the organizational mission and objectives (Ittner, Larcker, and Meyer, 2003). First, if method of measurement is not valid and reliable, then it makes no sense to use it. Validity refers to a measure being “true and correct”; reliability refers to “consistency” of the measure. Second, in addition to being valid and reliable, performance measures need to be acceptable and feasible, acceptability referring to the use of a measure that is satisfactory or appropriate to the people who must use it. Additionally, acceptability should consider whether or not the evaluation tool is feasible. Here, if management or employees feel that the form is unacceptable, it will not be used correctly. Finally, the evaluation measures must be specific enough to spot what is going well and what is not. “Specific” refers to something that is visible and clearly defined.

iii. Removing the focus on numerical ratings

Recent research has revealed that “performance ratings” have a zero correlation with business performance; accordingly, they are not accurate predictors of

tangible business performance (CEB Corporate Leadership Council, 2012). In this sense, many contemporary researchers, scholars and well-known huge companies are currently shifting their interest and focus from numerical ratings, concentrating instead on “performance management behaviors” such as real time feedback, goal setting and teamwork. Some high-profile companies such as Microsoft and Adobe have even eliminated performance ratings completely, replacing it by more frequent performance feedback sessions and goal setting practices to monitor performance. In this regard, AUB can follow this trend, however, it might take a lot of time for it to be able to remove performance ratings altogether from its system as it has long been relying on those ratings. A more short-term alternative would be providing a well-defined rating scale that would be applicable to each competency, objective and goal set.

iv. Defining the Rating Scale and associated weights

One of the most recurrent concerns when discussing the performance appraisal form with AUB staff members is the complexity of the rating scale and the relative weights associated to those. In fact, around 70% of the employees do not understand the adopted rating system. The numerical values are not obviously described in the form. For instance, an employee who gets 3, 3.4 or 3.99 is an employee who “meets expectations”. What does this grade reflect in practice? Moreover, a number without any clear explanation of the performance principles required does not provide a fair evaluation of the performance of individuals. The rating scale should be thoroughly levelled and described so that performance can be best judged with the least margin of subjectivity. If to be applicable, the rating scale could be defined as follows:

TABLE 6
Rating Scale and Definitions

Level	Definition
LEVEL 1 Unsatisfactory (Poor Performance)	Performance is consistently below expectations. Employee rarely achieves the established goals. Requires a comprehensive performance plan and an excessive time and attention by supervisor. Competency: rarely demonstrates competency behaviors; requires significant development
LEVEL 2 Below Expectations (Below Performance)	Performance does not meet the minimum requirements for the job and employee in general fails to comply with work standards in most essential areas of responsibility. Significant improvement is needed in many important job aspects. Competency: demonstrates some behaviors but not others, or uses behaviors inconsistently; may be appropriate for employees in new or more challenging positions, or for those who need development.
LEVEL 3 Meets Expectations (Acceptable Performance)	Performance is somehow inconsistent. However, the employee is motivated to perform the job. He/she lacks in some way the technical/core competencies to execute the tasks within deadlines and offer quality deliverables. A professional development plan is required to improve employee performance on the job. Competency: consistently demonstrates effective behaviors
LEVEL 4 Exceeds Expectations (Good Performance)	Performance is consistent. Employee consistently achieves and often exceeds goals. Employee meets job requirements and Supervisor/Manager's expectations in all essential areas of responsibility from quantitative and qualitative perspective. A professional development plan is recommended to ensure employee growth and career management. Competency: consistently demonstrates effective behaviors and often demonstrates exceptional behaviors
LEVEL 5 Outperforming (Outstanding Performance)	Performance is outstanding. Employee consistently exceeds goals and expectations in all essential areas of responsibility and the quality of work is excellent. Competency: Consistently demonstrates exceptional behaviors; serves as a role model and mentor

v. Emphasizing Goal and Objective setting

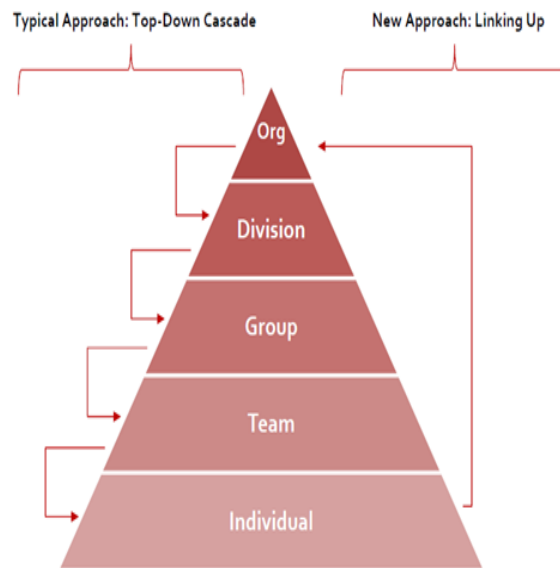
In the late 1990's, Locke and Latham's seminal work suggested that setting performance goals comprises of two main processes:

1. *"Cascading" vs. "Linking up" goals*

This is a method for setting goals followed by AUB in the case of very few departments applying goal setting techniques. "Cascading" goals refers to a hierarchy that should be followed in order to set goals. Here each organizational unit is expected to "set its own goals based on the unit above it" (Locke and Latham, 1990) (demonstrated by the left side of Figure 1). Sequentially, each employee has individual goals that derive from their unit/department goals.

However, there is a better alternative for cascading goals that is "linking up," as presented in Figure 1. Instead of cascading down, each department and employee appoints their own goals by "linking up" to the overall organization's objectives. This is much more beneficial in order to avoid waiting for each level above to finalize its cascade, accordingly, each team and individual can set goals more easily and save a lot of time.

FIGURE 1
Cascading Versus Linking Up



2. *Establishing SMART, meaningful goals and challenging (Specific, Measurable, Achievable, Realistic, and Time-bound)*

Setting performance goals is again a very important practice that makes of the process a successful one. Whenever setting goals, both employees and managers should ensure that those goals are specific, measurable, achievable, realistic and time-bound.

However, SMART is not the only criteria that individuals should focus on. An effective goal puts an employee outside of his/her comfort zone, so that he/she would strive to achieve them. In this sense, attaining the goal would be a considerable and meaningful achievement that would be highlighted in the performance appraisal document prepared.

Furthermore, whenever implementing goal setting, AUB should always ensure the linkage between the set goals and the type of reward associated to this specific accomplishment, taking into consideration the nature of the work being done. For

instance, jobs that have quantifiable results such as those that fall under the sales category can be easily rewarded when meeting set targets. However, there are other jobs which have more complex results that cannot be easily quantified. In this case, it is beneficial not to look only on whether the specific goal has been attained or not, but rather consider incentivizing the positive progress of individuals and teams towards achieving those. This would lead to positive overall individual performance.

vi. Designing a Competency-based Performance Appraisal tool

Despite its ancient efficacy, there is rising evidence that it is the right time for organizations to move away from job-based patterns focusing on the “job” itself and its components towards more of “competency-based” approaches to managing performance along with a focus on “competencies”, skills, and “individual capabilities”, as a means for competitive advantage (Lawler and Ledford, 1992). In fact, Edward Lawler clearly stated throughout his studies on performance that “instead of thinking of people as having a job with a particular set of activities that can be captured in a relatively permanent and fixed job description, it may be more appropriate and more effective to think of them as human resources that work for an organization” (Lawler, 1994).

Here, the actual tool should be altered in order to better reflect what is needed to be assessed. If the values that AUB is looking for comprise professionalism, commitment, productivity, then these should be reflected in the form. It is not very effective and useful to necessarily rate each function or task performed by the concerned employee in details as written in the job description; what is more important is to highlight the strengths and weaknesses of each individual (competencies acquired

and skills) in order to suggest progress. This can be best achieved through initiating, developing and implementing a “competency-based” performance appraisal that standardizes evaluation across AUB employees, and consequently eases analogies.

vii. Allowing Self-Rating

87% of AUB staff recommends including self-rating techniques as part of the performance appraisal process. Additionally, almost all of the interviewed heads of departments favored self-rating as well. In fact, they believe that this technique allows them to assess their own performance and compare this latent to the evaluation completed by their direct supervisors. In fact, self-rating encourages more dialogue between the appraiser and the appraisee. Moreover, when an individual is asked to rate his own performance, he/she will be obliged to reflect on his/her experiences and behaviors and judge those. By this means, the employee will be more tolerant for criticism and more knowledgeable of his/her capabilities and abilities.

viii. Translating the appraisal results into concrete positive actions

In the case of AUB, performance appraisal forms that are completed by managers, signed by concerned staff members and sent to HR for review are often not checked and filed with no action taken. This makes the performance appraisal exercise a yearly ritual with no outcomes. It is the responsibility of both the heads of departments and the HR function to put the appraisal results into action and make constructive decisions accordingly.

ix. Introducing a Pay-for-Performance Culture at AUB

Although AUB makes it clear to employees that the annual merit increase or increments are based on the performance appraisal result, however, in reality, this is not the case. AUB lacks a lot on that level. Merit increases have been set since few years to vary between 1% and 2% for all employees. Accordingly, any manager who deprives an employee from getting this minimal merit increase in order to grant it for a top performer would ultimately find him/herself unfair to the good performers, as the difference does not really count as a motivator. AUB should foster a culture that promotes linking reward systems with individual and team performance, in such a way holds the top performing employees. This been said, AUB should work hard on expanding its rewards system beyond minimal salary increments to cover:

- Making promotion decisions (those are totally separate from the process. Promotions at AUB often occur whenever a new job is needed and advertised internally for employees to apply for)
- Recognizing talents (Employee of the month, top 5 performers, etc. All this will increase employee morale)
- Celebrating successes
- Creating advancement opportunities
- Introducing more Learning Experiences (modules and programs should be offered to employees as a reward of their good performance. This might include attending courses, seminars, workshops whether in the home country or abroad)
- Granting monetary rewards (whenever budget is available).

In case of monetary rewards, it is requested that the decision should not be tightly linked to the result of the performance appraisal. Managers should be given a space for personal judgment to suggest the desirable increment along with the numerical outcome of the performance evaluation.

x. Introducing a 360-Degree Evaluation

AUB currently allows for a single input evaluation of the performance of staff members. Having a single point of view in relation to the performance of individuals is very unfair and open to many biases. In this sense, introducing a “360 evaluation system” minimizes those biases and unfairness in the process.

Accordingly, it is evident that whatever method of performance appraisal is used, the source of the performance measures needs to be clarified from the beginning of the process in order to insure the most accurate results. Each of the suggested sources has precise strengths and flaws. The most common sources of the performance measures often comprise: managers, peers, subordinates, self and customers.

In the late 1990s, the concept of multisource and multi-rater feedback flourished in North America and in the United Kingdom with the emergence of the “360-degree” feedback method as a means of instigating valuable organizational change. The “360-degree” appraisal system mainly focuses on feedback from the employee’s immediate work circle: direct supervisors, subordinates, peers, and self-appraisal (Tornow, 1993; Bracken & Timmreck).

This new emergent method of appraisal attempts to provide a more accurate and efficient way of appraising the performance of individuals, thus, reducing the

delinquencies of the earlier generations of assessment methods. Moreover, the 360-degree appraisal puts the manager into a “comfort zone” as he/she becomes one among various assessors, not the sole one (Barnes, 1997). This is very beneficial in the case of AUB where many managers constantly feel that they are being unfair with their employees when using the existing form to assess their performance. Furthermore, a 360 evaluation significantly decreases the problems of “halo effects” and “central tendency”. In addition, it makes the appraising process smoother and more acceptable by the appraisee, noting that he/she will be judged and evaluated by different perspectives. Such an approach to performance appraisal is considered to be accommodating in lawful or legal disputes that might face AUB as it reduces subjectivity and increases reliability. Finally, the 360-degree approach highlights employees’ participation in decision making within the institution; which often leads to, them, being empowered and voicing their concerns and sharing their opinions with the management.

xi. Automating the Performance Appraisal Process

Web-based performance management software guarantees that the performance management process is easy to complete, efficient, resourceful and consistent across the organization. Such software eases the identification of needed skill sets, the communication of the measures, the tracking of those measures, and the linkage to the existing reward system. In such a way, all talent and performance management programs will be operating under one system, helping employee in such a way to be more committed to the results of the various processes. Moreover, it is particularly imperative that the use of technology will allow AUB to access performance data and monitor performance progress against the pre-set goals, compare

ratings across time, and accordingly use this data to support decision making. Gathering and analyzing data in traditional paper-based forms is usually time-consuming and costly to the organization and the ones filling in the forms.

CHAPETER IV

THE PROPOSED COMPETENCY MODEL BY JOB FAMILY

The Learning and Development Unit (LDU) in the Department of Human Resources- Campus at the American University of Beirut suggested developing job families that organize related jobs especially that job titles at AUB vary widely across the institution other than the existing ones illustrated in table 4 below. The development of new job families would serve as the basis for adopting a Competency Management approach grounded in a well-established Competency Model. In fact, a competency model is essential for any organization, in specific for AUB, since it serves as the foundation for many HR activities and cuts across all its functions, from recruitment and selection, to training and development, succession planning, and performance management. In particular, the adoption of competency language in recruitment enables the identification of talents that best fit the job requirements. Similarly, competencies serve the training function in a way that allows designing training programs that are directly associated to the deficient skills and accordingly facilitates coaching and development. Moreover, competencies serve succession planning initiatives as a basis for defining and developing career paths and career ladders. Finally, in relation to the scope of study of this research paper, the presence of a competency model that cuts

across all the job families within the institution provides a basis for the evaluation of individual performance.

As stated by many practitioners at Harvard University, “performance can be measured against competencies” and the “use of competencies has been a key success for many universities and organizations undergoing rapid and dramatic changes” like the case of the American University of Beirut. In fact, as its definition implies, a competency is “a cluster of related knowledge, attitudes, and skills that affects a major part of one’s job; correlates with performance; can be measured; and can be improved” (Parry, 1996). It is an arrangement of “experiences, knowledge and skills necessary for the successful performance of a specific task or a specific position” as defined by Mr. Khaled Tayyara, the HR manager of one of the most well-known and expert advertising agencies in Lebanon.

Three different types of competencies can be identified in the literature:

- 1- Core competencies: Those are the general behaviors and/or skills that every employee should possess that are fundamental to the organizational success and always reflect the organizations mission, vision, values and goals of that organization. The Universities core competencies have been identified in 2007-2008 by the Human Resources Department and those are: Client Focus, Communication, Initiative, Organizational Awareness, and Teamwork.
- 2- Functional competencies: They consist of behaviors and/or skills that employees should possess to complete a specific task for a certain position in a particular function within the organization. Those functional competencies are often job family specific.

- 3- Managerial competencies: They comprise behaviors and/or skills that employees should acquire to mirror managerial qualities required for a managerial position.

Those competencies are often time grounded in job families that serve as the basis for the development of competency models that cut across all jobs within an organization. In specific, job families are mainly the initial stage to define functional and managerial competencies. In broad terms, each competency should be clearly defined in a statement that describes key institutional capabilities, service or outcomes braced by this competency; each competency should be defined and translated into key behavioral to measure the performance at hand; and finally, each competency should have different levels of proficiency, since not all job require the same competency with the same level of professionalism. In this regard, and while developing the competency model, each competency would be levelled based on the level of competence required for each job.

A. Developing the AUB competency language

The way in which competencies are phrased should be done delicately. The definitions and behavioral anchors relative to each competency described in the Competency Model should be clarified and understood by all stakeholders across the institution. In fact, the competency model adopted by AUB is supposed to function as an “internal language”, restricted to the University, adept to influence the day-to-day behaviors beside strategic lines (Dubois, 1993). Here, a strong comprehension of the behavioral indicators is crucial to guarantee that employees realize how competencies are behaviorally verified in their day-to-day work habits. The competency model to be

developed should be in this sense customized to tailor the behavioral themes informed by AUB’s strategy. A major notion that should be taken into consideration while developing the Competency model for AUB is the simplicity, clarity and unambiguousness of advanced competencies. If truth to be told, “Short and clearly worded lists of competencies have the best chance of becoming part of the organizational jargon thereby influencing employee behavior” (Bowen & Ostroff, 2004, 203-221). Moreover, broad and general competencies weaken the unique organizational identity of AUB in terms of its competency model, accordingly, impeding any compromise and consistency around the suggested model.

This been said, it is essential to take enough time to analyze the organizational needs, strategy and job families employed at AUB to customize the generic language of the relative Competency Model set forth. And finally, an evaluation of the process at hand is very essential in order to validate the model before putting it into action.

B. Changes in the Existing Model

The American University of Beirut has long been distributing the jobs across 3 main job families: Managerial, Professional and Operational, as illustrated in the below table.

TABLE 7
The current AUB Job Families Architecture

Job Family	Description
Managerial	<p>Management and Team Administration Positions in this family drive the various teams/departments and administer their processes, people and assets. E.g.: Managers, supervisors, etc...</p>

Professional	Professional Support to Processes and Information	Professional Support to Talent and People Interaction	Professional Support to Facilities and Physical Structures
	Positions in this family support the administration, the communications and information processes of the organization. E.g.: Professionals in Finance, Comptroller, Library, IT.	Positions in this family perform and act on the processes and initiatives that enhance the individual and collective contributions of people (internally and externally) to the short and long term success of the institution. E.g. HR, Public Relations	Positions in this family advise and support the administration of engineering or architectural projects, facilities, structures, equipment and devices. E.g.: Engineers, Architects, Safety Engineers...
Operational	Operational Services of Processes and Information		Operational Services of Facilities and Physical Structures
	Positions in this family operate the control, communications and information processes of the organization. E.g.: Office Assistants, Clerks...		Positions in This family work on constructing, maintaining, repairing, protecting and guarding buildings, roads, grounds, and related facilities; and on manufacturing, modifying and repairing and operating equipment or utilities, including those used in the academic environment. E.g.: Custodial, Protection, Technicians, Craftspeople...

Based on interview protocols conducted with a significant number of heads of departments, the exhaustive analysis of the needs and the applicability of the job families to the existing jobs at AUB, it is evident that more detailed job families structures should be established in order to ensure a wider coverage across the existing

job at the University. Well-established job families enable the development of a competency model that best aligns and cuts across all the operating jobs. In this sense, and based on the recommendations of the heads of departments, a new job families' structure was instituted (see Appendix IV).

Six job families that group all operating jobs at AUB were identified as follows:

Administrative Support/Clerical, Management, Operational, Specialist Support,

Technical and Scientific Support and Legal Compliance. Later on, after the

development of the new job families' structure, further interviews were conducted with same participants to discuss the job families and the corresponding competencies.

Accordingly, competencies were associated to the various job families based on both,

the recommendations of the participants and additional exploration of the active jobs.

The job families are illustrated below.

TABLE 8
Suggested Job Families' Structure for AUB

Job Family	Description	Suggested Competencies
Administrative Support/Clerical	<i>The primary function is administrative, clerical or secretarial. Jobs are generally well-defined however they may involve unforeseen occurrences/situations that require reliance on previous experience. Staff members in these roles are typically engaged in administrative and finance activities within faculties or departments. They would decide on how best to carry out operations within a selected process (examples include administrative assistants, secretaries, finance officers, accountants, faculty officers)</i>	Interpersonal Skills, Analytical thinking/ Problem solving, Planning and organizing/ work management, Quality commitment/ work standards, Attention to detail, Information Management, Adaptability/Flexibility, Creativity and Innovation, Negotiation
Leadership	<i>The primary function is management of a section. Responsibility includes the tactical implementation of</i>	Building partnerships, Analytical thinking / Problem solving ,

	<p><i>strategic decisions within a function. Staff members in these roles are likely to be specialists who spend most of their time managing at least two staff levels. They are directly involved in policy development and have discretion over the deployment of resources including people, finance and technology.</i></p>	<p>Interpersonal Skills, People management, Leadership, Resource management, Strategic thinking, Organizational Agility, Decision Making, Information Management, Conflict Management</p>
<p>Operational</p>	<p><i>The primary function is skilled activities in a craft or trade or general operations. Jobs are generally well defined however they may involve unforeseen occurrences/situations that require reliance on previous experience. Staff members in these roles typically spend their time ensuring the smooth running of facilities and services. They would decide on how best to carry out operations within a selected process.</i></p>	<p>Interpersonal Skills, Client/student service and support, Safety awareness, Planning and organizing / work management, Stress Tolerance, Analytical thinking / Problem solving, Information Management, Continuous Learning, Results Focus, Adaptability/Flexibility, Negotiation</p>
<p>Specialist Support</p>	<p><i>The primary function is to provide specialist academic, institutional or student support services. Responsibility includes interpretation of an overall plan and translation of the plan into action. Staff members in these roles typically spend most of their time with students and academic staff in support of the academic project or student development or they are engaged in activities that are central to the running of the university. They may be first level supervisors within their immediate area of expertise. Example would be Professionals in Finance, Comptroller, Library, IT.</i></p>	<p>Interpersonal Skills, Client/student service and support, Planning and organizing / work management, Professional knowledge and skill, Project Management, Analytical thinking / Problem solving, Information Management, Persuasiveness, Results Focus, Adaptability/Flexibility, Coaching, Creativity and Innovation</p>

Technical and Scientific support

The primary function includes technical duties. An understanding of the theory and or systems behind job processes is required at this level before jobs can be performed successfully. Staff members in these roles offer specialized technical and scientific support to either a faculty or the university as a whole. They are highly skilled and typically ensure that staff and students have on-going access to technical infrastructure. They also educate users. Examples would include technical officers, IT specialists, and graphic designers, set designers, amongst others.

Interpersonal Skills, Client/student service and support, Analytical thinking / Problem solving, Planning and organizing / work management, Professional knowledge and skill, Project Management, Attention to Detail, Adaptability/Flexibility, Creativity and Innovation, Technical Credibility

Some competencies are exclusive to a specific job family, mostly in the “Leadership” job family such as building partnerships, decision Making , conflict management, leadership, organizational agility, people management, resource management and strategic thinking, or in other job families including quality commitment/ work standards for the administrative support/clerical family; continuous learning, safety awareness and stress tolerance for the operational family; persuasiveness and project management for the specialist support family; technical credibility for the technical and scientific support family and legal negotiation for the legal compliance family. Other competencies are embraced by more than one job family those include: competencies that are shared by all job families except the “management” one: analytical thinking / problem solving, adaptability and flexibility, interpersonal skills and planning and organizing / work management; and others that repeat in more than one job family those include for instance attention to detail, creativity and innovation, information management, negotiation, coaching,

client/student service and support amongst others. Once a competency is defined along with being in line with AUB strategy and vision, various behavioral indicators for each competency at the different competency levels are established. Each competency is defined on the basis of 4 main levels of proficiency, each corresponding to the required level of skills entailed by the concerned job. The level 1 corresponds to “basic” level of the competency at hand, level 2 corresponds to “proficient” level of the same competency, level 3 corresponds to “advanced” level and level 4 corresponds to “mastery” level that needs to be demonstrated on the job. The competency model is detailed in the Appendix IV entitled “A guide to competencies, levels and measures for Non-Academic and Management Staff”.

CHAPTER V

LIMITATIONS OF THE STUDY

Although the study has generated central and stimulating findings, there are some limitations in this research that need to be acknowledged and tackled. First, in the literature review, the research was restricted to books, articles and research studies published in peer-reviewed journals written in English. The exclusion of Arabic and French language research studies and articles is considered to be a limitation of the study on performance management at the American University of Beirut; especially that Arabic and French are considered to be the official languages of the majority of the nations in the Middle East and Lebanon in specific. A second major limitation concerns the empirical fraction of our research. More precisely, the concern originates from the

applicability of our findings to the whole University. Generalizability is weakened due to a number of design factors. For example, although the sampling was intended to be as representative as possible, the sample of respondents was somehow small to represent the around 5000 staff members at AUB. Third, this is an empirical study conducted on a relatively small sample of employees within AUB and there is a need to replicate it on a larger sample of staff members. In fact, on one hand the participating sample is small in itself compared to the large number of employees and departments at AUB, and on the other hand, the number of respondents also limited the study to 60 survey responses and 10 interview outcomes analyzed. Fourth, the methodology should be complemented by supplementary investigations and studies through more rigorous interviewing of managers and subjects of performance appraisals, of both appraisers and appraisees. These interviews could be designed so as to comprise more open-ended questions leading to more discursive data adept in revealing essential attitudes and outlooks. Fifth, a small percentage of the sample size had an academic background in Human Resources or specifically an experience in the performance management field; accordingly, responses were only personal preferences and perceptions relating to performance evaluation practices.

Finally, a more extensive range of impact information could be exploited including some financial data relating to the existing position of the University and the link to rewards systems available in addition to other measures of performance.

CHAPTER VI

CONCLUSIONS AND AVENUES FOR FUTURE RESEARCH

Performance management is the process used to identify, measure, evaluate, improve, encourage and reward the performance of employees at AUB whereby it will manage to determine where the employee currently stands at and where he/she must be in the future. However, the performance management process adopted at AUB does not relate performance to other aspects of the process; rather, it is based purely on seniority and preferences. The research results advocate a need to revisit the performance management process in general at AUB, and restore the existing performance management practices, the performance appraisal system, and the adopted evaluation tools, in order to reach improved organizational effectiveness, to increase productivity and offer employees opportunities for growth and development. Here, the most important amendment is the initiation of a Competency Model that would standardize the evaluation process and permit reasonable future decisions and actions pertaining to organizational commitment, employee motivation, benefits systems, reward systems, and many other organizational concepts that emerge as key concepts to talent management.

In the light of the study results, the author recommends that the subsequent topics ought to be more considerably researched in the American University of Beirut, for it to abide by the standards of an American Institution in terms of talent management practices. These are by no means conclusive but do illustrate the wide range of research opportunities available to scholars in the university's context. Further studies and research should be conducted within the American University of Beirut to

validate the competency model developed earlier. Moreover, once the model is validated and tested, other HR activities within AUB should be tailored to adopt the new competency model, homogenizing all HR activities and making future decisions more fair and acceptable. In this sense, compensation systems, reward systems, recruitment, training and development, career planning, employee relations issues will all be based on a standard system that opens the door for consistency whenever making an organizational decision.

APPENDICIES

Appendix I- Performance Planning and Appraisal Form (Supervisory/Managerial)

Effective Date:	Second Level Supervision Signature:	HR Signature:			
Employee's Name:		Job Title:		ID #:	
Reports to:		Job Title:		ID #:	
Second Level Supervision:		Evaluation Period (or Project)			
Department:		Overall Performance Appraisal Score:			0.00
5 = Outstanding 4 = Exceeds Expectations 3 = Meets Expectations 2 = Below Expectations 1 = Poor Performance					

I. Job Summary & Scope:

II – Employee’s and Supervisor’s Agreement				
<p>The statements made on this page, and on the following pages of this "Performance Planning and Appraisal Form" are intended to describe the general nature and level of work being performed. They are not intended to be construed as an exhaustive list of all responsibilities, duties and skills required of personnel so classified. AUB reserves the right to modify position duties at any time, to reflect process improvements and business necessity.</p> <p>We agree to use the accountabilities, criteria, expectations and relative weights mentioned in this document as the basis of performance appraisal</p>				
<table style="width: 100%; border: none;"> <tr> <td style="width: 70%; border: none;">Employee’s Signature & Date:-----</td> <td style="width: 30%; border: none; text-align: right;">Supervisor’s</td> </tr> <tr> <td style="border: none;">Signature & Date:-----</td> <td style="border: none;"></td> </tr> </table>	Employee’s Signature & Date:-----	Supervisor’s	Signature & Date:-----	
Employee’s Signature & Date:-----	Supervisor’s			
Signature & Date:-----				

Print Instructions

Employee Name:	Job Title:	ID #:
-----------------------	-------------------	--------------

III. Critical Functions & Accountabilities: Specific results expected to be achieved during the evaluation period (or project)	Expected Standards / Outcomes	Relative Weight	Score	Weighted Score
A.				Score out of Range
B.				Score out of Range
C.				Score out of Range
D.				Score out of Range
E.				Score out of Range
F.				Score out of Range
G.				Score out of Range
H.				Score out of Range
I.				Score out of Range
J.				Score out of Range
K.				Score out of Range
L. Service Excellence		100%		Score out of

<p>+Customer Service: Treats staff with courtesy, respect, and concern. Provides prompt services to customers, and responds to opportunities to help others. Investigates inquiries, and provides prompt feedback. Implements, as needed, training programs to guests from outside the department.</p> <p>+Teamwork: Cooperates effectively with colleagues. Endeavors to make others' jobs easier. Adapts to changing conditions in a calm, productive, and flexible manner.</p> <p>+Communication: Listens carefully, and communicates in a clear and specific manner. Maintains appropriate confidentiality.</p> <p>+Safety: Participates in and documents safety duties. Follows prudent fire and other safety practices. Maintains a safe working environment for self and fellow employees.</p> <p>+Housekeeping: Organizes the work area to provide a neat (clean) environment.</p> <p>+Attendance</p>	<p>+Receives attentively and promptly responds to queries or requests for information, assistance or service.</p> <p>+Responds to customers' emails within 24 hours from receiving them.</p> <p>+Returns telephone calls within the same working day.</p> <p>+Treats all customers objectively and consistently in a non-discriminatory manner.</p> <p>+Performs work in a customer-oriented manner to gain customer satisfaction and cooperation.</p> <p>+Demonstrates a high level of responsiveness to clients' present needs and increasing expectations.</p> <p>+Demonstrates a high level of personal care, patience, and understanding in front of customers' demands.</p> <p>+No formal complaints or a decreasing number of complaints from customers.</p> <p>+Demonstrates a high level of cooperation with colleagues.</p> <p>+Communicates clearly and to the point in a friendly and useful manner.</p> <p>+Does not disclose information to unauthorized individuals.</p> <p>+Abides by fire and safety regulations and practices as set by the University.</p> <p>+Work area is always neat and</p>			<p>Range</p>
---	--	--	--	--------------

	organized. + Timely arrival and departure from work + Properly approved vacations and absences			
CRITICAL FUNCTIONS & ACCOUNTABILITIES SCORE:				0.00

IV. Supervisory / Managerial Criteria: To be completed for employees in supervisory / managerial jobs.	Expected Standard	Relative Weight	Score	Weighted Score
A. Administrative Issues				Score out of

<ul style="list-style-type: none"> + Attendance management + Sick leave management + Vacation scheduling & management + New employee orientation + Explaining personnel policies to employees and ensuring adherence to policy 	<ul style="list-style-type: none"> +Maintains updated attendance records at all times. +Timely arrival and departure of subordinates +Provides for continuous service during absences & vacations +All new employees are adequately oriented to the University and their roles/jobs within the first month of employment. +Communicates effectively Personnel policies and regulations to employees and ensures proper compliance. 			Range
<p>B. Staff Management</p> <ul style="list-style-type: none"> +Insures establishment of responsibilities and identification of priorities and performance standards Appropriately communicates goals and delegates tasks. 	<ul style="list-style-type: none"> + Timely and candid implementation of performance management process +Develops in writing objective performance standards for all employees in unit. +Writes at least 2 interim informal performance appraisals/reports per year and communicates results to respective employees. +Writes formal Performance Appraisals annually and conducts an appraisal interview with every employee in unit. +Sets Performance Improvement 			Score out of Range

	Plans for all employees in unit.			
C. Staff Development + Collaborates with the Human Resources department towards strategic selections, development and coaching of subordinates in order to accomplish business goals and objectives.	+ Timely implementation of departmental and other training programs +Identifies specific training needs for employees in unit and communicates them to Human Resources Department. +Achieves the set minimum of 20 hours of training for every employee in unit.			Score out of Range
D. Business Management + Establishes appropriate work controls based upon corporate direction, in order to regulate processes or activities of operating unit in line with preset budget. Comments on budget variations as appropriate.	+ Remain within preset budget			Score out of Range
E. Change Management + Reviews workflow processes pertinent to own work unit and implements changes as appropriate to changing conditions and technologies + Leads and/or supports change enthusiastically + Contributes to increasing efficiency levels and cutting costs by promoting automation to manage processes	+ Processes are current and take advantage of latest technologies	100%		Score out of Range
SUPERVISORY / MANAGERIAL CRITERIA SCORE:				0.00

V - Overall Evaluation	Relative Weight	Score	Weighted Score
- Weightings of Functions and Accountabilities range between 50 – 100% - Weightings for Supervisory/Managerial Criteria range between 0 – 50%			

- Both Weightings should add-up to 100%			
Overall Critical Functions & Accountabilities Score	100%	0.00	Score out of Range
Overall Supervisory / Managerial Criteria Score		0.00	Score out of Range
FINAL SCORE:			0.00

VI – Evaluator’s Comments & Recommended Actions	
Supervisor’s Signature:-----	Second Level Supervision Name
& Signature:-----	
Date:-----	
Date:-----	

To Be Used During The Performance Appraisal Interview	
I - Development Plan	
Recommend developmental activities, which will improve present job performance, enhance potential, and improve skill base. Determine anticipated target dates, time frames, specific courses or seminars, and topic areas.	
Supervisor’s Signature:-----	Date:-----

II - Employee's Comments	

I have read and understood the above Performance Appraisal information

Employee's Signature:-----

Date:-----

Appendix II - Performance Planning & Appraisal Form (Non-Supervisory)

Effective Date:	Second Level Supervision Signature:	HR Signature:
-----------------	-------------------------------------	---------------

Employee's Name:		Job Title:		ID #:	
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Reports to:		Job Title:		ID #:	
Second Level Supervision:		Evaluation Period (or Project)			
Department:		Overall Performance Appraisal Score:			0.00
5 = Outstanding 4 = Exceeds Expectations 3 = Meets Expectations 2 = Below Expectations 1 = Poor Performance					

I. Job Summary & Scope:

II – Employee’s and Supervisor’s Agreement
<p>The statements made on this page, and on the following pages of this "Performance Planning and Appraisal Form" are intended to describe the general nature and level of work being performed. They are not intended to be construed as an exhaustive list of all responsibilities, duties and skills required of personnel so classified. AUB reserves the right to modify position duties at any time, to reflect process improvements and business necessity.</p> <p>We agree to use the accountabilities, criteria, expectations and relative weights mentioned in this document as the basis of performance appraisal</p>
<p>Employee’s Signature & Date:----- Supervisor’s Signature & Date:-----</p>

Print Instructions

Employee Name:	Job Title:	ID #:
-----------------------	-------------------	--------------

III. Critical Functions & Accountabilities: Specific results expected to be achieved during the evaluation period (or project)	Expected Standards / Outcomes	Relative Weight	Score	Weighted Score
A.				Score out of

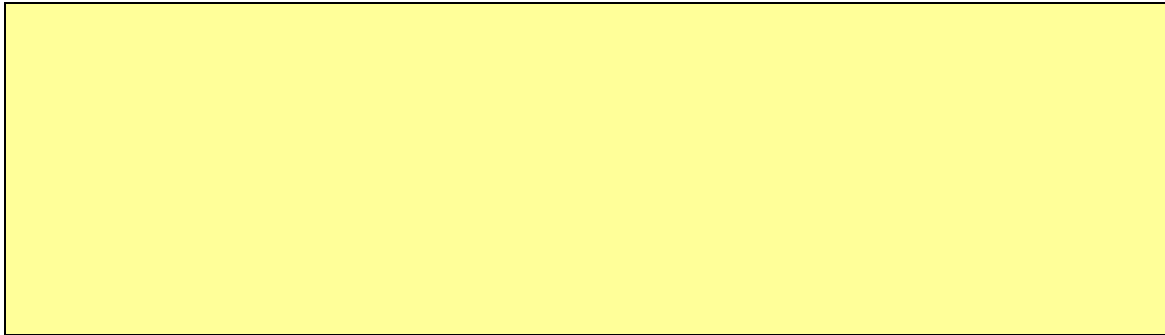
				Range
B.				Score out of Range
C.				Score out of Range
D.				Score out of Range
E.				Score out of Range
F.				Score out of Range
G.				Score out of Range
H.				Score out of Range
I.				Score out of Range
J.				Score out of Range
K.				Score out of Range
L. Service Excellence		100%		Score out of

<p>'+Customer Service: Treats staff with courtesy, respect, and concern. Provides prompt services to customers, and responds to opportunities to help others. Investigates inquiries, and provides prompt feedback. Implements, as needed, training programs to guests from outside the department.</p> <p>+Teamwork: Cooperates effectively with colleagues. Endeavors to make others' jobs easier. Adapts to changing conditions in a calm, productive, and flexible manner.</p> <p>+Communication: Listens carefully, and communicates in a clear and specific manner. Maintains appropriate confidentiality.</p> <p>+Safety: Participates in and documents safety duties. Follows prudent fire and other safety practices. Maintains a safe working environment for self and fellow employees.</p> <p>+Housekeeping: Organizes the work area to provide a neat (clean) environment.</p> <p>+Attendance</p>	<p>+Receives attentively and promptly responds to queries or requests for information, assistance or service.</p> <p>+Responds to customers' emails within 24 hours from receiving them.</p> <p>+Returns telephone calls within the same working day.</p> <p>+Treats all customers objectively and consistently in a non-discriminatory manner.</p> <p>+Performs work in a customer-oriented manner to gain customer satisfaction and cooperation.</p> <p>+Demonstrates a high level of responsiveness to clients' present needs and increasing expectations.</p> <p>+Demonstrates a high level of personal care, patience, and understanding in front of customers' demands.</p> <p>+No formal complaints or a decreasing number of complaints from customers.</p> <p>+Demonstrates a high level of cooperation with colleagues.</p> <p>+Communicates clearly and to the point in a friendly and useful manner.</p> <p>+Does not disclose information to unauthorized individuals.</p> <p>+Abides by fire and safety regulations and practices as set by the University.</p> <p>+Work area is</p>			Range
--	--	--	--	-------

	always neat and organized. + Timely arrival and departure from work + Properly approved vacations and absences			
CRITICAL FUNCTIONS & ACCOUNTABILITIES SCORE:				0.00

IV - Overall Evaluation			
<i>- Weightings of Functions and Accountabilities add-up to 100%</i>	Relative Weight	Score	Weighted Score
Overall Critical Functions & Accountabilities Score	100%	0.00	Score out of Range
FINAL SCORE:			0.00

V – Evaluator’s Comments & Recommended Actions



Supervisor's Signature:----- Second Level Supervision Name &
Signature:-----
Date:-----
Date:-----

To Be Used During The Performance Appraisal Interview

I - Development Plan

Recommend developmental activities, which will improve present job performance, enhance potential, and improve skill base. Determine anticipated target dates, time frames, specific courses or seminars, and topic areas.

Supervisor's Signature:----- Date:-----

II - Employee's Comments

I have read and understood the above Performance Appraisal information

Employee's Signature:----- Date:-----

Appendix III – Policy

A. Basic Policy

AUB strongly encourages supervisors to communicate with employees on performance issues throughout the year. Formal annual performance appraisals must be completed for all employees by their supervisors, and interim appraisals are encouraged. The performance appraisal is based on how well the employee has performed the duties outlined in the job description, goals established, and performance competencies. Formal appraisal of the performance of Employees and Workers will be conducted during the probationary period and annually during the month of June. The probationary period is three months. The current performance appraisal system uses the following five-point rating scale:

5 = Outstanding, 4 = Exceeds Expectations, 3 = Meets Expectations, 2 = Below Expectations, 1 = Poor Performance

B. Scope

The procedure for performance evaluation is applicable to Non-Academic Personnel.

C. Forms Used

1. Performance Planning and Appraisal Form for Supervisory / Managerial Personnel

http://staff.aub.edu.lb/~webhr/forms/job/ppaf-_MG.xls - available at Appendix I

2. Performance Planning & Appraisal Form for Non-Supervisory Personnel

(Appendix II)

D. Procedure

1. During Probationary Period

When a new employee is appointed, HR Department sends a letter to the department head informing him/her that the new employee has been probationally appointed and requesting him/her to advise HR in writing whether or not he/she wishes to continue the services of the employee/worker beyond the probationary period by sending his/her recommendation and the employee's rating report by the tenth week of employment. An automatic email will be sent by the HR system on the ninth week of employment to the respective department head reminding him/her to send the requested documents in due time.

Each immediate supervisor, in collaboration with the respective employee or worker, will setup performance plan/expectations at the beginning of the period and outline them on the appropriate form (for Supervisory/Managerial or Non-Supervisory Personnel). Both the immediate supervisor and the employee/worker will sign the form.

Each immediate supervisor will hold follow up meetings on a periodic basis or as needed to provide regular coaching, mentoring, and feedback on the performance of the employee. Each immediate supervisor, including deans and heads of departments, will evaluate the job performance of every employee and worker in his/her area of responsibility. Supervisors will fill the form, sign it, and secure the approval of the concerned second level of supervision prior to discussing the performance review with the concerned employee individually and getting his/her signature on it. Supervisors will forward the completed form to the HR Department, and retain one copy for the department file.

If the rating is satisfactory, the employee will be retained in his/her post. If the rating is unsatisfactory, the concerned department head will send a letter to HR Department requesting the termination of the employee or worker at least two weeks before the end of the employee's probationary period.

2. Annual Performance Evaluation

- a) The same procedure as in c, d, e, f, and g above shall apply.
- b) Supervisors shall review the performance of every direct report. When performance is unsatisfactory, supervisors shall provide the employee/worker with the necessary counseling and guidance to improve, keeping the second level of supervision informed of progress.
- c) An official warning will be sent by the HR Department to the individual concerned upon receipt of an unsatisfactory performance appraisal.

Appendix IV- The suggested AUB Competency Framework

AUB COMPETENCY FRAMEWORK

April 2015



A GUIDE TO COMPETENCIES, LEVELS AND MEASURES FOR NON- ACADEMIC AND MANAGEMENT STAFF

References:

UCT Human Resources, 2014

Harvard University Competency Dictionary, 2014

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INTRODUCTION

A competency is a skill, quality, trait or behavior that is required for the effective performance of a job. It most often describes “how” a person does the job.

A jobholder often necessitates a set off competencies in order to perform at the optimal level in a job. Some core competencies are needed for all types of jobs and at all levels at AUB. Other competencies are specific to certain types or levels of jobs. Different levels of competencies may be required for different levels of jobs.

Competencies can be difficult to recognize, articulate, define and measure, and so it is useful to have a ‘competency dictionary’ – a competency framework – which sets out the types of behaviors (behavioral indicators) one would expect to see in successful performance in different types and levels of jobs. Such a framework provides a common language or understanding of the behaviors required.

Core competencies support the University’s mission and strategic goals.

Note: Competencies do not include specific technical or specialist skills or knowledge needed for certain jobs, and so should not be considered alone. Further professional standard frameworks may also provide further requirements.

Competencies help us to:

- Design jobs and structure
- Write job descriptions
- Manage and develop performance of staff
- Recruit and select staff
- Train and develop staff
- Identify and plan career paths
- Plan for successors for key jobs
- Develop our organizational culture

USING THIS GUIDE

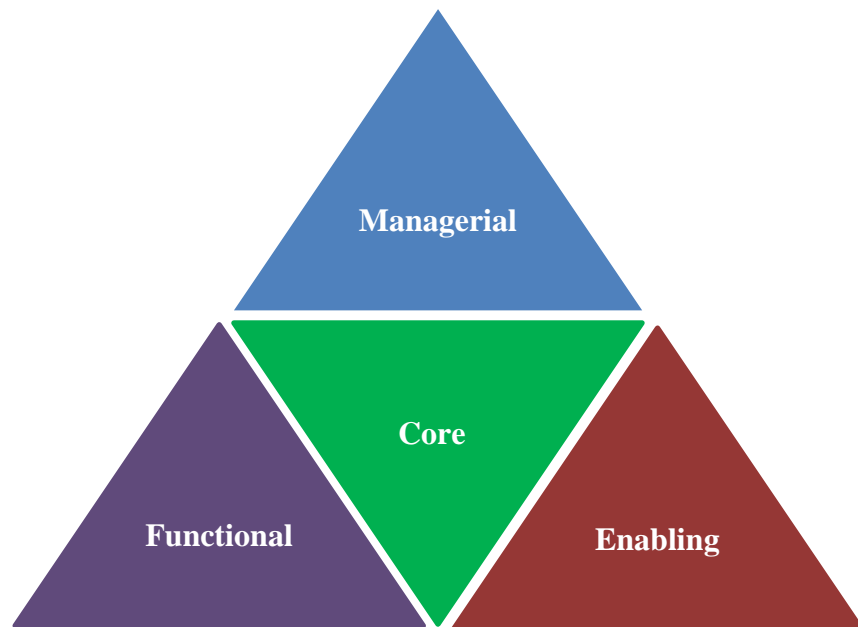
This guide provides a complete list of competencies for non-academic and management staff, and descriptions of how these competencies are observed at different levels of jobs.

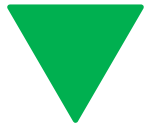
These competencies are required, in varying combinations, at differing levels, for various jobs at AUB. The demonstration of these competencies is necessary in order for a staff member to be deemed to be performing the job at the required standard. However, these descriptors should not be used as rigid and absolute performance measures, but rather as generic guidelines for what effective performance would look like. They are a starting point for a conversation around expected levels of performance. The competency framework is neither all-inclusive nor prescriptive.

SECTION A: IDENTIFYING COMPETENCIES

The section lists all the competencies that may be required by AUB.
Read the whole list before making your selection.

The competencies are grouped into categories or types to make identification easier.
These categories are not mutually exclusive (i.e. you can select from more than one category).





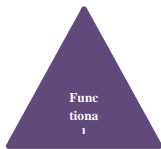
Competencies required for all jobs at AUB

Client Focus, Communication, Initiative,
Organizational Awareness, Teamwork



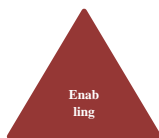
Competencies required for jobs that manage or lead people and/or departments:

Building Partnerships, Conflict Management, Decision-Making,
Leadership, Organizational Agility, People Management,
Resource Management, Strategic Thinking



Competencies that relate to a job function:

Coaching, Information management, Persuasiveness,
Professional knowledge and skill, Safety awareness, Negotiation,
Client/Student Service and Support



Competencies that enable or support job performance:

Adaptability/ flexibility, Analytical Thinking, Continuous
learning, Creativity and innovation, Quality commitment/ work
standards, Results focus; Stress tolerance, Attention to Detail,
Interpersonal Skills

Competency	Description
These are the Core competencies required for all jobs at AUB:	
Client Focus	Providing service excellence to internal and external clients. Bottom of Form
Communication	Clearly conveying and receiving messages to meet the needs of all. This may involve listening, interpreting, formulating and delivering information. Bottom of Form
Initiative	Identifying and dealing with issues proactively and persistently, seizing opportunities that arise Bottom of Form
Organizational Awareness	Understanding the structure and culture of the organization. Bottom of Form
Teamwork	Working cooperatively and productively with others to achieve results

These competencies are required for jobs that manage or lead people and/or departments:	
Building partnerships	Identifies opportunities and takes action to build partnerships and relationships between one's own area and other areas, teams, units, departments, or faculties, to achieve AUB goals.
Conflict Management	Deals effectively with others in antagonistic situations. Uses appropriate interpersonal styles and methods to reduce tension or conflict between two or more people.
Decision Making	Demonstrates the ability to analyze and evaluate available information and resources in order to make a clear and effective decision in vague and complex situations in a timely manner, while perceiving the impact of the decision.
Leadership	Uses appropriate interpersonal style and methods to inspire and guide others towards goal achievement. Modifies behavior to accommodate tasks, situations and individuals involved; is facilitative, influential and enabling in order to gain acceptance of ideas or plans; builds confidence and capabilities of others; challenges and supports others to learn and grow from experience
Organizational Agility	Knowledgeable about how the university works and how to get things done both through formal and informal channels; aware of the culture of the university; understands the reasoning behind key policies, practices, and procedures, works well with his/her supervisor and co-workers; can work his or her way through touchy situations.

People management	Motivates and guides others to accomplish work objectives through performance management. Sets clear performance expectations; uses appropriate interpersonal skills to gain commitment from staff; monitors and guides progress; seeks and gives feedback; appraises performance outcomes; plans and supports the development of others; facilitate relationships with others; advises staff to better navigate complexity in roles; allocates decision-making authority and task responsibilities to appropriate subordinates; utilizes subordinate's time, skills and potential effectively
Resource management	Establishes a course of action for self and others to accomplish a specific goal. Identifies, obtains and manages resources (people, material, information, and budget, time) effectively in order to accomplish goals. Prioritizes work according to the university's goals, not just own area's responsibilities; manages own time effectively.
Strategic thinking	Strategic Thinking is the ability to use the results of strategic analysis to establish and commit to a course of actions in order to accomplish the organizational vision and long term goals.

These competencies may be required for a variety of jobs. In addition to those above, select only those that are absolutely core to the job. Take care not to select those that may already be described:			
Functional Competencies		Enabling Competencies	
Coaching	<i>Facilitates the development of other's knowledge, abilities and skills so that they can fulfil current or future job/role responsibilities more effectively. Provides timely feedback and guidance to help others reach goals; builds confidence of others.</i>	Adaptability/ Flexibility	<i>Maintains effectiveness in varying environments and with different tasks, responsibilities and people. Maintains effectiveness when experiencing major changes in work tasks or the work environment; adjusts to work within new work structures, processes, requirements, or cultures.</i>
Information Management	<i>Establishes and maintains on-going procedures to collect, review and share information needed to manage the university or on-going activities within it. Takes into account the skills, knowledge and experience of the responsible individuals and characteristics of the assignment or project.</i>	Analytical Thinking	<i>Works systematically and logically to resolve problems, address opportunities, or manage the situation at hand. Analyses the situation; identifies the underlying problem; identifies causes, relationships and implications; identifies opportunities; draws from a range of resources, contexts and experiences;</i>

			<i>conceptualizes solutions; considers alternatives; and implements the most appropriate action.</i>
Persuasiveness	<i>Effectively represents own position on issues and persuades others while gaining their support in order to achieve win-win outcomes; uses appropriate interpersonal styles and communication methods to gain others' acceptance; resolves conflicts and disagreements through building consensus.</i>	Continuous learning	<i>Proactively takes advantage of opportunities to learn. Actively identifies new areas for learning; applies new knowledge and skill appropriately.</i>
Professional knowledge and skill	<i>Has attained a satisfactory level of professional knowledge or skill in certain job or role in order to perform effectively. Keeps up with current developments in area of expertise.</i>	Creativity and innovation	<i>Generates creative solutions to work situations. Generates and promotes new ideas and uses them to develop new or improved processes, methods, systems, solutions, products or services; tries different and novel ways to deal with problems and opportunities.</i>
Safety awareness	<i>Is aware of conditions that affect own and other's safety. Actively monitors, records and educates others around unsafe acts and unsafe conditions; maintains safety standards within a designated area; proactively identifies and improves unsafe conditions.</i>	Quality commitment/ work standards	<i>Sets high standards of performance for self and others. Assumes responsibility and accountability for successfully completing assignments or tasks; self-imposes standards of excellence rather than having standards imposed; demonstrates attention to producing a high quality service; constantly looks for opportunities to improve work processes and results; accomplishes tasks by considering all areas involved; consistently shows</i>

			<i>concern for all aspects of the job; accurately checks processes and tasks.</i>
Negotiation	<i>Effectively explores alternatives and positions to reach outcomes that gain the support and acceptance of all parties.</i>	Results Focus	<i>Stays focused on the efforts necessary to achieve quality results consistent with institutional and departmental goals. Demonstrates the ability to achieve effective results; demonstrates concern for the successful achievement of results; works persistently to overcome obstacles to goal achievement.</i>
Client/Student Service and Support	<i>Makes client/student needs a primary focus of actions. Proactively develops and sustains productive client/student relationships; understands the client/student needs; anticipates and provides solutions to client/student needs; demonstrates concern for meeting and exceeding immediate and future needs of clients/students; gives high priority to client/student satisfaction.</i>	Stress Tolerance.	<i>Maintains focus, control, stable performance and composure under pressure or opposition (such as time pressure or job ambiguity). Handles stress in a manner that is acceptable to others and to the university.</i>

<p>Planning and Organizing / work management</p>	<p><i>Establishes a course of action for self and/or others to accomplish a specific goal. Effectively plans, schedules, prioritizes and controls activities; identifies, integrates and orchestrates resources (people, material, information, budget, and/or time) to accomplish goals. Prioritizes work according to the university's goals, not just formal job responsibilities; manages own time effectively.</i></p>	<p>Attention to Detail</p>	<p><i>The ability to demonstrate an appropriate level of precision, to complete tasks effectively through concern for all the areas involved, and to ensure quality and accuracy through thorough follow up on tasks</i></p>
<p>Project Management</p>	<p><i>The ability to manage projects effectively through prioritizing tasks, managing resource availability and determining project feasibility</i></p>	<p>Interpersonal Skills</p>	<p><i>The ability to communicate effectively with colleagues, customers and clients and interact pleasantly and positively with them; considers and responds appropriately to the needs and feelings of different people in different situations, through an open participative communication style.</i></p>
<p>Technical Credibility</p>	<p><i>The ability to have high technical credibility by acquiring and applying new skills to stay up to date with own profession and industry, through tracking new advances and cutting-edge developments ,while acting as a technical expert and transferring technical knowledge and skills to others</i></p>		

SECTION B: CHECKING COMPETENCIES AGAINST THE JOB FAMILY

The section describes broad job families, and suggests competencies per job family.

All AUB jobs are grouped into broad job families depending on the primary nature of work performed within the job. This grouping is not prescriptive. Read the descriptions below and choose which job family describes the job activities most accurately. Once the job family is identified, refer to the listing of suggested competencies per job family. The suggested competency list is not prescriptive.

Job Family	Description	Suggested Competencies
Administrative Support/Clerical	<i>The primary function is administrative, clerical or secretarial. Jobs are generally well-defined however they may involve unforeseen occurrences/situations that require reliance on previous experience. Staff members in these roles are typically engaged in administrative and finance activities within faculties or departments. They would decide on how best to carry out operations within a selected process (examples include administrative assistants, secretaries, finance officers, accountants, faculty officers)</i>	Adaptability/Flexibility Analytical thinking / Problem solving Attention to detail Creativity and Innovation Information Management Interpersonal Skills Negotiation Planning and organizing / work management Quality commitment/ work standards
Leadership	<i>The primary function is management of a section. Responsibility includes the tactical implementation of strategic decisions within a function. Staff members in these roles are likely to be specialists who spend most of their time managing at least two staff levels. They are directly involved in policy development and have discretion over the deployment of resources including people, finance and technology.</i>	Building partnerships Coaching Conflict Management Decision Making Leadership Organizational Agility People management Resource management Strategic thinking
Operational	<i>The primary function is skilled activities in a craft or trade or general operations. Jobs are generally well defined however they may involve unforeseen occurrences/situations that require</i>	Adaptability/Flexibility Analytical thinking / Problem solving Client/student service and support Continuous Learning

	<i>reliance on previous experience. Staff members in these roles typically spend their time ensuring the smooth running of facilities and services. They would decide on how best to carry out operations within a selected process.</i>	Information Management Interpersonal Skills Negotiation Planning and organizing / work management Results Focus Safety awareness Stress Tolerance
Specialist Support	<i>The primary function is to provide specialist academic, institutional or student support services. Responsibility includes interpretation of an overall plan and translation of the plan into action. Staff members in these roles typically spend most of their time with students and academic staff in support of the academic project or student development or they are engaged in activities that are central to the running of the university. They may be first level supervisors within their immediate area of expertise. Example would be Professionals in Finance, Comptroller, Library, IT.</i>	Adaptability/Flexibility Analytical thinking / Problem solving Client/student service and support Coaching Creativity and Innovation Information Management Interpersonal Skills Persuasiveness Planning and organizing / work management Professional knowledge and skill Project Management Results Focus
Technical and Scientific Support	<i>The primary function includes technical duties. An understanding of the theory and or systems behind job processes is required at this level before jobs can be performed successfully. Staff members in these roles offer specialized technical and scientific support to either a faculty or the university as a whole. They are highly skilled and typically ensure that staff and students have on-going access to technical infrastructure. They also educate users. Examples would include technical officers, scientific officers, IT specialists, graphic designers, set designers, amongst others</i>	Adaptability/Flexibility Analytical thinking / Problem solving Attention to Detail Client/student service and support Creativity and Innovation Interpersonal Skills Planning and organizing / work management Professional knowledge and skill Project Management Technical Credibility
Legal Compliance	<i>Ensures AUB's compliance with all laws and regulations while it follows AUB policies</i>	Attention to Detail Analytical thinking / Problem solving Legal Negotiation

SECTION C: IDENTIFYING THE COMPETENCY LEVELS

Competency level descriptors and measures

The section describes the behavioral indicators for each competency at the different competency levels.

Once you have selected your competencies, select the level at which the competency should be demonstrated. Roughly, the levels correspond with the levels of jobs in the university. Jobs may require a number of different competencies at different levels. These behavioral indicators are iterative, meaning that all behavioral indicators in levels lower than the one you choose will also apply in some degree. So for instance, a jobholder at level 'Level 3' will also need to indicate behaviors described for 'Level 2' and 'Level 1'.

Level 1 corresponds to Basic, level 2 corresponds to Proficient, level 3 corresponds to Advanced and level 4 corresponds to Mastery level of the concerned defined competency.

These indicators are common to all levels of jobs.

The behavioral indicators are not prescriptive, nor are they exhaustive.

Adaptability /Flexibility

Maintains effectiveness in varying environments and with different tasks, responsibilities and people. Maintains effectiveness when experiencing major changes in work tasks or the work environment; adjusts to work within new work structures, processes, requirements, or cultures.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Maintains an effective work style when experiencing changes in work tasks, processes or environment ● Remains focused on task despite changes ● Keeps own emotions from interfering with work ● Recognizes and adopts positive aspects of change ● Responds to change with appropriate sense of commitment ● Actively engages in change to better understand the effects on own role 	<ul style="list-style-type: none"> ● Adjusts to work effectively within new work structures, processes, requirements, or cultures ● Sees change as opportunity to improve ● Willing and eager to change ● Actively seeks out positive spin-offs of change and investigates ways in which change can be used ● Anticipates change and continuously remains prepared for change ● Demonstrates resourcefulness in acquiring necessary knowledge, skills and competencies to adapt to change 	<ul style="list-style-type: none"> ● Anticipates change by keeping up to date on current research and trends affecting one’s own field ● Continually searches for ways to adapt and improve through change ● Consciously models appropriate adaptations and encourages it in others ● Moves ahead with changes and seizes opportunities without waiting ● Recognizes and capitalizes on opportunities ● Devises long term action plans for adapting to change ● Systematically analyses and shares the learning/knowledge gained from change ● Redirects own or own team’s efforts in response to changed circumstances to ensure effective problem solving 	<ul style="list-style-type: none"> ● Initiates change, shifts directions, initiates or abandons projects when circumstances dictate ● Pushes forward with important initiatives to improve the faculty’s/ department’s / university’s position ● Identifies knowledge, skills and competencies that are key to long-term success for the department/university ● Reviews, evaluates and disseminates information regarding key methodologies, best practices and tools to others ● Facilitates and promotes learning through analysis of change

Analytical Thinking/Problem Solving

Works systematically and logically to resolve problems, address opportunities, or manage the situation at hand. Analyses the situation; identifies the underlying problem; identifies causes, relationships and implications; identifies opportunities; draws from a range of resources, contexts and experiences; conceptualizes solutions; considers alternatives; and implements the most appropriate action.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Effectively uses existing procedures, processes, and tools to identify and solve routine problems ● Appropriately applies learned concepts, procedures, or “rules of thumb” to analyzes data ● Identifies the information needed to solve a problem ● Recognizes a match or mismatch between current data and a known standard 	<ul style="list-style-type: none"> ● Appropriately derives and organizes the essence of information to draw solid conclusions ● Effectively resolves problems of a moderately complex nature ● Synthesizes data from different sources to identify trends ● Looks beyond symptoms to uncover root causes of problems to be solved ● Presents problem analysis and a recommended solution rather than just identifying and describing the problem itself ● Proactively approaches others to obtain missing information ● Takes action to reconcile discrepancies 	<ul style="list-style-type: none"> ● Effectively resolves complex problems that require substantial, in-depth analysis ● Quickly identifies key issues, stakeholders and viewpoints in a complex situation or problem ● Finds ways to condense large amounts of information into a useful form ● Anticipates the consequences of situations and proactively works to overcome potential obstacles ● Asks perceptive, probing questions to get to the heart of the matter 	<ul style="list-style-type: none"> ● Effectively resolves the most difficult and complex problems that require the creation of new, innovative approaches ● Analyses and appropriately weighs the pros, cons, and opportunities, and risks before deciding on a course of action ● Integrates seemingly unrelated information from different sources to identify new approaches that strengthen the long-term position of the faculty/department/university

Attention to Details

The ability to demonstrate an appropriate level of precision, to complete tasks effectively through concern for all the areas involved, and to ensure quality and accuracy through thorough follow up on tasks

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Follows instructions and checks own work for accuracy ● Pays attention to the specifics of the situation or issue at hand ● Follows appropriate procedures without taking shortcuts, when required 	<ul style="list-style-type: none"> ● Maintains a checklist, schedule or calendar to ensure that small details are not overlooked ● Keeps track of important details in a useable form and on a timely basis for others who need it ● Ensures a consistent high quality covers all the details and the overall outcome 	<ul style="list-style-type: none"> ● Continually cross-checks information for errors and makes corrections ● Communicates with all involved parties to assure quality throughout all the areas of the project, acts to verify information and accuracy of work ● Ensures proper attention to details while maintaining systematic quality among all team members 	<ul style="list-style-type: none"> ● Anticipates the likelihood of errors, understands the consequences and monitors progress of strategic projects against milestones or deadlines ● Commits to the strategic “big picture” without getting lost in the details ● Ensures that attention to details doesn’t jeopardize the overall quality of the project on an organizational level

Building Partnerships

Identifies opportunities and takes action to build partnerships and relationships between one's own area and other areas, teams, units, departments, or faculties, to achieve AUB goals.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Contributes willingly towards the accomplishment of own and team goals, doing his or her share of the work ● Demonstrates respect for the opinions and ideas of others ● Does not remain silent or withhold differing opinions in team settings ● Is willing to accept compromises to progress toward the achievement of group goals ● Follows through on commitments made to other team members ● Keeps people informed and up to date 	<ul style="list-style-type: none"> ● Nurtures both internal and external partnerships and contacts as sources of information and expertise to support work activities ● Regularly identifies and engages effectively with internal and external interfaces ● Thinks through issues with others utilizing their skills and making them feel valued ● Offers advice and provide support even if there is no immediate or obvious return ● Makes compromises in order to achieve tasks or to gain cooperation from others ● Considers diversity of viewpoints to be important ● Uses facts and information from networks to influence and achieve goals ● Speaks authoritatively on own area of expertise and is credible with partners/colleagues 	<ul style="list-style-type: none"> ● Identifies networks/committees which would be of benefit to the university ● Understands the conditions for effective partnership working ● Creates network opportunities) for own division/department/team interested parties to exchange information with others ● Creates commitment to and enthusiasm for the accomplishment of challenging objectives across diverse teams ● Integrates people and resources to achieve high levels of synergy ● Resolves dysfunctional conflict to ensure success ● Understands implications of outcomes of Committees and ensures relevant actions are taken within own division/department/team ● Uses networks and relationships to build support for ideas and achieves results 	<ul style="list-style-type: none"> ● Builds and expands networks and coalitions, to achieve strategic goals ● Networks both internally and externally to accomplish goals ● Understands implications of outcomes of Committees and ensures relevant actions are taken within own faculty/department/university ● Uses networks and relations to achieve results and influence strategic outcomes ● Defuses high-tension situations, if they arise ● Uses negotiation to develop mutually agreeable outcomes

Client / Student Service and Support

Makes client/student needs a primary focus of actions. Proactively develops and sustains productive client/student relationships; understands the client/student needs; anticipates and provides solutions to client/student needs; demonstrates concern for meeting and exceeding immediate and future needs of clients/students; gives high priority to client/student satisfaction.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Asks questions to identify needs and expectations ● Responds with the appropriate level of urgency ● Takes into account the impact on the client/student when carrying out one's own job tasks ● Takes personal ownership in ensuring that expectations are met ● Asks questions about the satisfaction with the service provided 	<ul style="list-style-type: none"> ● Is alert and responsive to changes in expectations ● Seeks information about real needs, beyond those expressed initially ● Takes personal responsibility to ensure external and internal satisfaction despite time pressures and significant obstacles ● Develops on-going relations with clients/students · Takes a variety of actions to assess satisfaction 	<ul style="list-style-type: none"> ● Clearly states what one can and can't do to meet desires with strong emphasis on creatively applying what one can do to meet the needs ● Works to remove barriers that get in the way of providing exceptional service ● Works to meet the client's /student's needs rather than own or faculty's/department's short-term needs ● Designs solutions to address key priorities and adapts solutions as needed to changing client and market demands ● Builds relationships with key decision-makers in the client area ● Sets up systems to effectively monitor satisfaction 	<ul style="list-style-type: none"> ● Develops strategic, long-term relationships, gaining trust and respect ● Uses feedback for developing future-oriented client / student service strategies ● Looks for trends that are likely to shape the wants and needs in the future ● Develops scenarios and strategies that anticipate future needs ● Identifies products and services that meet the needs

Coaching

Facilitates the development of other's knowledge, abilities and skills so that they can fulfil current or future job/role responsibilities more effectively. Provides timely feedback and guidance to help others reach goals; builds confidence of others.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Takes specific steps to develop others so that they can take on more independent responsibility ● Provides informal suggestions to others to develop their knowledge, awareness, and skills ● Specifically explains correct procedures or desired performance ● Devotes significant time to provide task-related help to others 	<ul style="list-style-type: none"> ● Takes time to discuss with others their individual development plan ● Makes available appropriate assignments or other experiences to develop other's skills and competencies ● Gives focused and constructive feedback in a way that maintains self-esteem and helps another to work towards the achievement of his/her goals ● Encourages others to try new approaches ● Treats mistake as learning opportunities and explores learning with others after mistakes are made 	<ul style="list-style-type: none"> ● Takes time to discuss with others their individual development plan ● Makes available appropriate assignments or other experiences to develop other's skills and competencies ● Gives focused and constructive feedback in a way that maintains self-esteem and helps another to work towards the achievement of his/her goals ● Encourages others to try new approaches ● Treats mistake as learning opportunities and explores learning with others after mistakes are made 	<ul style="list-style-type: none"> ● Provides leadership and resources for creating an environment that is conducive to the professional development of employees at all levels of the department/university ● Keep managers responsible for developing people in their team/department/University ● Identifies and provides appropriate developmental experiences for those individuals who have the potential to assume leadership roles in the future ● Actively drives the development of talent across functional, regional and organizational boundaries

Conflict Management

Deals effectively with others in antagonistic situations. Uses appropriate interpersonal styles and methods to reduce tension or conflict between two or more people.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Identifies conflict situations needing attention ● Aims to remain objective in a conflict situation ● Avoid bringing up topics that do not directly contribute to the resolution of conflict ● Treats conflict as an opportunity to gain a better understanding of ideas that differ from own and to clarify own viewpoints ● States own point-of-view without criticizing the other person's ● Responds to opposing views in a non-defensive manner ● Priorities needs and goals, deciding what they are willing to give up and under what circumstances ● Communicates openly and respectfully when addressing problems 	<ul style="list-style-type: none"> ● Openly addresses conflict as it arises ● Recognizes the underlying agendas and needs of others and finds solutions ● Seeks to mediate conflict between individuals and groups ● Identifies areas of agreement when working with conflicting individuals or groups. ● Works to resolve conflict amongst others by showing respect for others' opinions and working toward mutually agreeable solutions ● Analyses the issues and interests at stake, the origins of the conflict and the reasoning of all sides 	<ul style="list-style-type: none"> ● Aims to settle disputes equitably ● Maintains awareness of broad, longer-term objectives and works to ensure that all parties share this awareness while seeking solutions ● Focuses attention on the issues that affect project, process, or team success ● Takes a problem-solving approach to conflict and generates multiple practical solutions to problems ● Focuses on the needs of all parties and generally reaches mutually agreeable outcomes ● Demonstrates an ability to distinguish between critical and non-critical conflicts 	<ul style="list-style-type: none"> ● Proficiently defuses volatile situations ● Brings conflicts and disagreements into the open and attempts to manage them collaboratively while keeping the best interests of the department/university in mind ● Effectively identifies and manages potential conflicts within relationships to prevent disagreements from arising ● Successfully redirects others when they begin to lose focus on the critical issues that need to be resolved ● Develops creative and effective solutions to problems and uses solid negotiation skills to arrive at mutually agreeable outcomes even in the most difficult circumstances

Continuous learning

Proactively takes advantage of opportunities to learn. Actively identifies new areas for learning; applies new knowledge and skill appropriately.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Actively approaches others to gain a better understanding of own strengths and development needs ● Acts independently to create a development action plan to respond to own development needs ● Selects appropriate development activities and pursues them ● Looks at the lessons to be derived from a failure, mistake or negative event. 	<ul style="list-style-type: none"> ● Actively seeks out opportunities to gain additional exposure and experience ● Continuously updates knowledge through reviewing materials and/or consulting internal or external experts 	<ul style="list-style-type: none"> ● Demonstrates resourcefulness in acquiring necessary knowledge, skills and competencies based on a thorough understanding of personal strengths and development needs ● Devises a long-term action plan for own development ● Keeps up to date on current research and trends affecting one's own field ● Systematically analyses and shares the learning/knowledge gained from projects 	<ul style="list-style-type: none"> ● Identifies knowledge, skills and competencies that are key to the business's long-term business success ● Reviews, evaluates and disseminates information regarding key methodologies, best practices and tools to others ● Facilitates and promotes team learning through analysis of team successes and failures

Decision-Making

Demonstrates the ability to analyze and evaluate available information and resources in order to make a clear and effective decision in vague and complex situations in a timely manner, while perceiving the impact of the decision.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Gathers and applies all relevant information from known and readily accessible sources ● Seeks guidance when the situation is ambiguous in order to make a correct decision ● Seeks an understanding of the implications of decisions on planned outcome or results 	<ul style="list-style-type: none"> ● Seeks additional information about a situation other than what has been given and consults available resources ● Balances competing priorities in reaching clear and well-informed decisions on time ● Anticipates the impact and consequences of a decision 	<ul style="list-style-type: none"> ● Displays investigative skills in order to draw inferences on the basis of information located from both available and newly identified sources, and evaluates information accuracy and relevancy ● Proactively identifies and prioritizes the key issues involved to facilitate the an effective decision-making process ● Considers the risks associated with each decision and its impact and selects the one that has the best balance of risk and reward 	<ul style="list-style-type: none"> ● Capitalizes on networks as a resource for generating and evaluating alternatives before making a strategic decision ● Makes high-risk strategic decisions of significant consequences for the best interest of the organization ● Anticipates the impact of the decision by identifying external and internal organizational factors which influence or constrain decision making

Creativity and innovation

Generates creative solutions to work situations. Generates and promotes new ideas and uses them to develop new or improved processes, methods, systems, solutions, products or services; tries different and novel ways to deal with problems and opportunities.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Generates ideas for own area of responsibility ● Tries new methods for completing required tasks more efficiently ● Contributes ideas in team meetings 	<ul style="list-style-type: none"> ● Generates ideas beyond own area of responsibility, benefiting the team or department ● Questions established processes and procedures to find a better way ● Helps to develop new approaches by building on the ideas of others ● Has good judgment of which ideas and suggestions will work 	<ul style="list-style-type: none"> ● Generates ideas for creatively applying existing technology or processes to the benefit of the department/university ● Continually looks for ways to expand the department's capabilities ● Energizes others to come up with creative ideas ● Facilitates idea generation by creating networking opportunities ● Promotes the further development and implementation of creative ideas ● Assesses the impact of institutional / legislative / policy / context changes and determines appropriate tactics to respond 	<ul style="list-style-type: none"> ● Generates ideas that create breakthrough opportunities and change (not just extensions of the past) ● Continually examines and challenges the assumptions of university policies and strategies ● Leads initiatives to promote creativity and innovation throughout the faculty / department / university ● Translates creative ideas into strategies and plans that will succeed in the university ● Anticipates how institutional / legislative / policy / context changes will affect the university and develops strategies to capitalize on these changes

Information management

Establishes and maintains on-going procedures to collect, review and share information needed to manage the university or on-going activities within it. Takes into account the skills, knowledge and experience of the responsible individuals and characteristics of the assignment or project.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Aware of the knowledge and information relevant to their roles and the value this brings to the university ● Reviews and communicates gaps in knowledge and information which hinder the achievement of objectives ● Shares knowledge and information appropriately and participates in activities to facilitate sharing ● Understands and complies with information management standards and guidelines ● Effectively uses standard retrieval and distribution tools ● Uses appropriate knowledge and information resources ● Complies with information confidentiality and security standards 	<ul style="list-style-type: none"> ● Identifies opportunities, methods and approaches for delivering value through improved information management ● Enables staff members to access relevant knowledge and information ● Analyses and evaluates information ● Uses most appropriate mix of knowledge and information sources ● Delivers relevant knowledge and information in most appropriate form ● Collects, monitors and analyses appropriate data ● Supports and facilitates knowledge and information sharing ● Develops and supports processes and tools for information sharing and capture ● Identifies and uses external and internal knowledge and information sources ● Plans and manages record keeping ● Contributes to the development of processes, tools and standards 	<ul style="list-style-type: none"> ● Builds and manages appropriate knowledge and information assets ● Supports and facilitates the development and implementation of information management processes across university silos ● Develops tailored information management approaches aligned to specific business processes ● Develops information management standards and guidelines ● Demonstrates awareness of information management trends, developments, experience and good practice ● Identifies opportunities to deliver value through improved information management ● Champions knowledge sharing to enable continuous learning and knowledge creation ● Develops and implements information management policies incorporating relevant measurement systems and benchmarks 	<ul style="list-style-type: none"> ● Engages with thought leaders within and outside the university in order to identify the value of knowledge and information to the university and develop an informed vision ● Identifies, develops and articulates information management strategies that will add value to the university ● Ensures that information management strategies are embedded within university strategies and key processes ● Fosters and enables a knowledge and information-rich culture ● Enables an effective information management architecture ● Constantly reviews the impact of information management strategies

Interpersonal Skills

The ability to communicate effectively with colleagues, customers and clients and interact pleasantly and positively with them; considers and responds appropriately to the needs and feelings of different people in different situations, through an open participative communication style.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Responds to colleagues in a timely and courteous manner ● Actively gets to know others by looking for common interests ● Understands the feelings of others and responds to their requests ● Listens attentively to others and shows willingness to dealing with others 	<ul style="list-style-type: none"> ● Explains, justifies and delivers facts, ideas and opinion in a clear manner ● Realize impacts of their actions on others and on organization and displays a positive approach ● Empathizes with others' concerns and finds non-threatening ways to approach their sensitive issues ● Actively listens to others with courtesy, gives and receives feedback honestly and diplomatically 	<ul style="list-style-type: none"> ● Regularly meets and discusses with others to develop inter and intra divisional relationships ● Co-operates with others, encouraging teamwork where sharing of relevant information occurs ● Notices and accurately interprets what others are feeling, based on their choice of words, tone of voice, expressions and other nonverbal behavior ● Designates teams within the workplace and guides them through open discussions and brainstorming sessions 	<ul style="list-style-type: none"> ● Shows finesse in communication and serves as a role model for effective communication ● Creates open and honest relationships with stakeholders and organization-wide culture that fosters positive interaction ● Coaches others in their approaches in dealing with stakeholders that have sensitive or difficult issues ● Promotes values and encourages an inclusive and comprehensive exchange of ideas throughout the organization

Leadership

Uses appropriate interpersonal style and methods to inspire and guide others towards goal achievement. Modifies behavior to accommodate tasks, situations and individuals involved; is facilitative, influential and enabling in order to gain acceptance of ideas or plans; builds confidence and capabilities of others; challenges and supports others to learn and grow from experience

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> • Demonstrates understanding and shares information on job-related data and facts while recognizing problems. Listens actively and provides support • Seeks others' involvement and input on issues and listens to others. Gives instructions and on-the-job demonstrations and makes helpful suggestions • Sets an example for team members (e.g., respect of others' views, team loyalty, cooperating with others) 	<ul style="list-style-type: none"> • Proactively shares job-related information with peers and others while understanding the impact of this data on others and situations before relating data • Gives specific and constructive feedback and stimulates creative ideas to help others learn • Independently takes effective action and pursues assignments with a proactive attitude and style; sets an example for others by reacting positively to challenges 	<ul style="list-style-type: none"> • Consistently and proactively shares job-related data, ideas and best practices with peers and others outside work. Anticipates problems and communicates the information necessary to avoid negative impact on workplace • Modifies teaching approach to fit the learning style of others and provides constructive coaching, training and encouragement for growth and learning while reassuring others after a setback • Motivates associates and peers; creates a positive work climate by encouraging the team to promote their work throughout the organization. And establishing the team's credibility with internal and external stakeholders. 	<ul style="list-style-type: none"> • Is proficient at communicating job-related information to all stakeholders, and coaches peers to rectify job-related problems and improve effectiveness of work via developing others' skills • Mentors others and fosters learning and development for others while providing long-term as well as short-term coaching. Designs and implements new approaches to teach and takes a flexible approach in letting others do what works best for them • Provides vision and direction by managing change, coordinating and influencing others' activities; commands respect and inspires others to do their best; effectively communicates at all levels of the organization to enthusiasm for opportunities of change

Legal Negotiation

Legal negotiation comprises reaching a compromise in settling a dispute in a way which is most beneficial to the client, achieving the best possible outcome for the client without needing to resort to litigation, obtaining enough information from the other party to reach a potential solution.

Level 1	Level 2	Level 3	Level 4
N/A	N/A	<ul style="list-style-type: none"> ● Knows the strengths and weaknesses of the case at hand, and those of the opposing party. ● Acts ethically when exploiting such strengths and weaknesses, ● Puts together a plan for the negotiation. ● Exchanges information when speaking to clients about their expectations ● Listens to others' point of view and analyzes the consequences ● Backs up statements with reasonable arguments ● Examines the interests, needs and requirements of other parties to determine what are his/her motivators 	<ul style="list-style-type: none"> ● Critically reflects on the process and outcomes so he/she can learn from the experience ● Sets a legal negotiation strategy for the University ● Obtains settlement terms that satisfies interests of all parties and achieves a better result for the parties

Negotiation

Effectively explores alternatives and positions to reach outcomes that gain the support and acceptance of all parties.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Questions others to gain clarity on their needs and desired outcomes ● Keeps calm and uses assertive, tactful and diplomatic behavior. ● Listens carefully to the arguments of the other party ● Responds to opposing views in a non-defensive manner ● Makes sure there is an agreed deadline for resolution ● Lists all the issues which are important to both sides and identify the key issues ● Identifies any areas of common ground ● Explains the benefits of own argument putting points across clearly and concisely ● Listens to possible alternative solutions offered by other parties in the discussion ● Makes concessions when required to reach agreement 	<ul style="list-style-type: none"> ● Clearly communicates own needs and desired outcomes of the discussion ● Understands the underlying concerns and needs of the parties involved ● Summarizes the points of agreement and areas of difference in the positions of the parties involved in the discussion and tests the understanding by communicating to parties involved ● Knows when to compromise to achieve desired outcomes. ● Modifies argument to suit audience ● Use a range of approaches and strategies to gain support for ideas 	<ul style="list-style-type: none"> ● Wins concessions without damaging relationships ● Thoughtfully generates solutions that satisfy all parties ● Respectfully challenges the points of view expressed by others ● Puts forward a convincing argument to support own views ● Plans for alternative outcomes if agreement can't be reached 	<ul style="list-style-type: none"> ● Is a masterful negotiator ● Is sought out by others to mediate prolonged, complex, and difficult disputes ● Tries to achieve a mutually agreeable outcome by offering ideas and possible solutions which take all parties' needs into consideration

Organizational Agility

Knowledgeable about how the university works and how to get things done both through formal and informal channels; aware of the culture of the university; understands the reasoning behind key policies, practices, and procedures, works well with his/her supervisor and co-workers; can work his or her way through touchy situations.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> • Understands the formal structure of the organization, its rules, regulations and standard operating procedures and accomplishes work according to these norms • Knows the vision, values of the organization and understands how the related job can contribute to them • Ensures that work is aligned with procedures and actively looks for help from their superior in complex situations 	<ul style="list-style-type: none"> • Recognizes ‘unspoken’ organizational limitations – what is and is not possible at certain times or in certain positions; is aware of what stakeholders demand from the organization and how the organization can fulfil them • Through applying processes and policies, knows the key “individuals” or “bodies” in the internal environment that directly or indirectly impact on job success and works to build positive working relationships with these individuals • Works to stay up to date on developments within the organization and seeks to find out how these developments might impact own job and work area, and adjusts work routines accordingly 	<ul style="list-style-type: none"> • Maintains cross-functional focus and effectively uses both formal and informal channels or networks for acquiring information, assistance and accomplishing work goals • Supports the changing culture of the organization and the methods of operating in order to ensure its success and achievement of its objectives • Uses the informal structure by identifying key actors, decision makers and applies this knowledge when formal structure does not work as desired 	<ul style="list-style-type: none"> • Demonstrates broad understanding of social and economic context within which the organization operates and anticipates the potential trends of the political environment and the impact these might have on the organization • Is aware of the organization's culture in order to glean insight and to gain fresh perspective of the organization drivers for achieving the objectives • Achieves complex solutions to the organization’s problems based on understanding of issues, climates and culture

People management (including performance management and development)

Motivates and guides others to accomplish work objectives through performance management. Sets clear performance expectations; uses appropriate interpersonal skills to gain commitment from staff; monitors and guides progress; seeks and gives feedback; appraises performance outcomes; plans and supports the development of others; facilitate relationships with others; advises staff to better navigate complexity in roles; allocates decision-making authority and task responsibilities to appropriate subordinates; utilizes subordinate's time, skills and potential effectively

Level 1	Level 2	Level 3	Level 4
N/A	<ul style="list-style-type: none"> ● Takes action to clarify goals and objectives for the team if there is uncertainty around performance expectations ● Continually examines own and team's actions to assess whether they are in line with team objectives ● Monitors the progress of the team toward the accomplishment of performance expectations; gives timely, constructive, actionable feedback ● Makes plans to facilitate progress towards objectives ● Implement performance improvement process where necessary ● Defines tasks and activities of team members 	<ul style="list-style-type: none"> ● Defines roles and responsibilities of team members ● Sets measurable and achievable performance expectations for team members that align with department and university objectives ● Delegates assignments appropriately, ensuring that the individual has the skills and competencies to get the job done ● Provides appropriate guidance and support for delegated tasks ● Pushes responsibility back to team members (rather than taking charge) if they have the capability to accomplish something ● Conducts productive performance feedback discussions, giving team members necessary focus, guidance, and direction ● Holds team members responsible for the attainment of established performance expectations; deals effectively with poor performance ● Recognizes and rewards successful behaviors and results within the policy 	<ul style="list-style-type: none"> ● Ensures that faculty/departmental goals and objectives are aligned with AUB's strategy ● Focuses own department on the accomplishment of key objectives ● Ensures commitment to and application of the performance feedback process throughout the department/university

Persuasiveness

Effectively represents own position on issues and persuades others while gaining their support in order to achieve win-win outcomes; uses appropriate interpersonal styles and communication methods to gain others' acceptance; resolves conflicts and disagreements through building consensus.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Actively listens to affect ideas and courses of action and describes the potential impact of one's position on issues ● Presents information that have strong effect on others, using language tailored to the audience's level and experience ● Uses concrete examples, visual aids and demonstrations to make a point ● Ensures that everyone involved is satisfied 	<ul style="list-style-type: none"> ● Demonstrates the ability to convince others to adopt a position on issues while anticipating its impact ● Gives an example to others of when one's ideas has been used successfully in some other context and makes concessions when required to reach agreement and gain their support ● Adopts discussions and presentations and builds on successful initiatives and best practices to gain acceptance of ideas ● Involves people who have positive attitudes to secure the agreement and commitment of others 	<ul style="list-style-type: none"> ● Presents pros and cons and detailed analysis to emphasize the value of an idea or one's position ● Coaches team members on how to listen to others carefully and find out about their interests and expectations while showing interest in their ideas in order gain their support, trust and respect ● Persuades others by drawing from experience and presenting multiple arguments in order to support a position ● Assesses the interest and level of audience and anticipates diverse thinking and expectations in order to be well prepared to convince them 	<ul style="list-style-type: none"> ● Effectively directs and leads others through ideas and courses of action by understanding individual and organizational values ● Forms long term relationships with others. Designs and develops persuasive communications by using several arguments and a range of approaches and strategies in order to gain others' support for ideas while working for win-win situations within the organization ● Uses various strategies to gain the support of others such as establishing alliances, using experts or third parties ● Develops strategies to possible objections in order to effectively respond to them and reach an agreement

Planning and Organizing/ Work Management

Establishes a course of action for self and/or others to accomplish a specific goal. Effectively plans, schedules, prioritizes and controls activities; identifies, integrates and orchestrates resources (people, material, information, budget, and/or time) to accomplish goals. Prioritizes work according to the university's goals, not just formal job responsibilities; manages own time effectively.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Sets priorities with an appropriate sense of what is most important ● Manages time effectively to accomplish what needs to get done ● Knows the status of own work at all times ● Participates in planning sessions that affect own team 	<ul style="list-style-type: none"> ● Plans and implements moderately complex activities/projects ● Clearly defines objectives and translates them into workable activities ● Plans with a realistic sense of the time and resource demands involved maintaining awareness of the interrelationships between own and other activities/project ● Anticipates potential obstacles and their impact on the accomplishment of goals and timelines ● Uses time and resources effectively to accomplish desired results ● Monitors and tracks progress to ensure delivery of all planned commitments, and keeps the appropriate people informed 	<ul style="list-style-type: none"> ● Plans and implements complex activities/projects ● Maintains a keen awareness of the interrelationships among various components of large-scale activities/projects ● Allocates time and resources as required when faced with multiple demands and competing priorities ● Considers the financial implications before finalizing activity/project plans ● Actively monitors costs incurred against budget and makes adjustments to plans as necessary 	<ul style="list-style-type: none"> ● Establishes frameworks for scheduling and implementing projects that are consistent with the overall business strategy ● Marshals all necessary resources effectively and efficiently in order to implement the strategy and face complex and unexpected obstacles ● Ensures proper dissemination of information and work-in-progress between different functions to ensure a smooth flow and progress with minimum disruptions and setbacks

Professional knowledge and skill

Has attained a satisfactory level of professional knowledge or skill in certain job or role in order to perform effectively. Keeps up with current developments in area of expertise.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Has a satisfactory understanding of the knowledge / skill area ● Knows fundamental concepts, practices and procedures of the knowledge / skill area ● Requires guidance and direction in applying the knowledge / skill in the position ● Has completed required training and/or obtained certification 	<ul style="list-style-type: none"> ● Has good understanding of the knowledge / skill area ● Effectively applies fundamental concepts, practices, and procedures in the knowledge / skill area ● Fairly independent in applying knowledge / skill in position ● Occasionally needs some direction in the resolution of problems 	<ul style="list-style-type: none"> ● Thorough understanding of the knowledge / skill area ● Effectively applies a broad range of principles, practices and procedures in the knowledge / skill area ● Is sought out by others for advice for the resolution of difficult problems ● Is capable of working independently ● Keeps up with current developments in area of expertise 	<ul style="list-style-type: none"> ● Recognizes expert in the knowledge / skill area ● Able to lead discussion with external experts ● Is recognized and sought out for advice as leading authority in the knowledge skill area ● Is expert in all technical aspects of the skills area

Project Management:

The ability to manage projects effectively through prioritizing tasks, managing resource availability and determining project feasibility

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none">● Identifies the concept of managing technology and people in order to deliver the project on time● Understands project management dealing with rapid change and a less defined environment● Reviews a basic level of the business case and requirements by controlling progress of a certain project	<ul style="list-style-type: none">● Identifies the adequate sequencing of project tasks and the dependencies required in order to submit deliverables effectively● Searches multiple resources to get all complete and accurate information needed● Has the technical knowledge and skills needed to do dealing with a mid-level of complex project	<ul style="list-style-type: none">● Is responsible for the entire management of the project to find solutions to the technical issues● Uses the best practices of project management processes and manages its key components to deliver the demanding goal● Maintains the right type of activities which lead to the optimal results of a successful project	<ul style="list-style-type: none">● Initiates the planning phases for complex project, deals with its plan, charter, scope and statement● Strategically manages human and financial resources by building effective teams with operational standards and goals● Encourages employees to achieve a project goal according to challenging performance standards● Consistently develops new methods to find available resources for the best collection of projects and aligns them with the strategic vision of the company● Develops project performance expectations and maintains project efficiency

Quality commitment/ work standards

Sets high standards of performance for self and others. Assumes responsibility and accountability for successfully completing assignments or tasks; self-imposes standards of excellence rather than having standards imposed; demonstrates attention to producing a high quality service; constantly looks for opportunities to improve work processes and results; accomplishes tasks by considering all areas involved; consistently shows concern for all aspects of the job; accurately checks processes and tasks.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Pays attention to the quality of one's own work, checking for the accuracy of work produced ● Provides information on a timely basis and in a usable form to others who need to act on it ● Completes all work according to defined procedures and standards ● Looks for potential improvements in own area of responsibility 	<ul style="list-style-type: none"> ● Pays attention to the processes or elements leading to the accomplishment of results within own team or department, looking for ways to improve quality and efficiency ● Examines output of own department, looking for potential improvements ● Establishes measurements to evaluate the quality of work outputs and processes ● Expresses concern about quality ● Speaks up about practices that may compromise the quality of service ● Alerts others about potential problems or implications for plans or actions 	<ul style="list-style-type: none"> ● Takes a holistic perspective of the entire system and takes action to improve the efficiency of processes and quality of outputs ● Frequently reviews current output and identifies potential improvements. ● Develops systems to continuously monitor the quality of work outputs and processes ● Leads quality and process improvement efforts 	<ul style="list-style-type: none"> ● Plans and implements complex activities/projects ● Clearly defines objectives and translates them into workable activities ● Anticipates potential obstacles and their impact on the accomplishment of goals and timelines ● Uses time and resources effectively to accomplish desired results ● Monitors and tracks progress to ensure delivery of all planned commitments, and keeps the appropriate people informed

Resource management

Establishes a course of action for self and others to accomplish a specific goal. Identifies, obtains and manages resources (people, material, information, budget, time) effectively in order to accomplish goals. Prioritizes work according to the university's goals, not just own area's responsibilities; manages own time effectively.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Plans and implements complex activities/projects ● Maintains a keen awareness of the interrelationships among various components of large-scale activities/projects ● Allocates time and resources as required when faced with multiple demands and competing priorities ● Considers the financial implications before finalizing activity/project plans ● Actively monitors costs incurred against budget and makes adjustments to plans as necessary 	<ul style="list-style-type: none"> ● Plans and implements moderately complex activities/projects ● Clearly defines objectives and translates them into workable activities ● Plans with a realistic sense of the time and resource demands involved maintaining awareness of the interrelationships between own and other activities/project ● Anticipates potential obstacles and their impact on the accomplishment of goals and timelines ● Uses time and resources effectively to accomplish desired results ● Monitors and tracks progress to ensure delivery of all planned commitments, and keeps the appropriate people informed 	<ul style="list-style-type: none"> ● Plans and implements complex activities/projects ● Maintains a keen awareness of the interrelationships among various components of large-scale activities/projects ● Allocates time and resources as required when faced with multiple demands and competing priorities ● Considers the financial implications before finalizing activity/project plans ● Actively monitors costs incurred against budget and makes adjustments to plans as necessary 	<ul style="list-style-type: none"> ● Plans and leads the most complex and difficult activities/projects ● Makes sound business decisions when faced with complex and contradictory alternatives ● Skillfully leads and coordinates the work of multiple, diverse teams; facilitates optimal cooperation among those teams takes quick and decisive action to remove obstacles to overall success ● Re-engineers or creates new business processes and systems to provide the highest quality services ● Regularly reviews service strategy, identifying ways to provide better services to clients ● Builds university-wide support and champions provision of high quality service to clients ● Takes highly visible action to underscore AUB's commitment and determination for providing highest quality service to all clients and students

Results focus

Stays focused on the efforts necessary to achieve quality results consistent with institutional and departmental goals. Demonstrates the ability to achieve effective results; demonstrates concern for the successful achievement of results; works persistently to overcome obstacles to goal achievement.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Clarifies results/expectations for all work he/she is taking on; goes back to manager if there is any lack of clarity about results/expectations ● Stays focused on task despite distractions, demonstrating commitment to the successful achievement of challenging goals ● Clearly defines the expected output and results of all assignments and projects 	<ul style="list-style-type: none"> ● Puts in extra effort (above what would normally be required) to accomplish a goal ● Takes on-going, repeated action to overcome obstacles to goal achievement ● Looks for and identifies better, faster, less expensive, or more efficient ways to achieve results ● Continuously monitors progress towards goal achievements, and acts decisively when progress is stalling ● Willingly takes on difficult assignments 	<ul style="list-style-type: none"> ● Gives advice and guidance to others on how to define their work in terms of results expectations ● Reinforces effective behaviors and results in others ● Takes multiple, different actions to overcome resistance or obstacles ● Engages others who can help “turn the tides” towards successful goal achievement ● Holds self and others accountable for achieving results ● Willingly takes on very difficult tasks and assignments 	<ul style="list-style-type: none"> ● Facilitates progress towards desired results by anticipating potential obstacles and taking steps to avoid or minimize the barriers ● Continuously “raises the bar” for increasingly high levels of excellence and success. ● Willingly takes on the most complex and difficult assignments and ensures the successful achievement of expected results

Safety awareness

Is aware of conditions that affect own and other’s safety. Actively monitors, records and educates others around unsafe acts and unsafe conditions; maintains safety standards within a designated area; proactively identifies and improves unsafe conditions.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Follows regulations and procedures ● Reports unsafe acts and conditions ● Checks equipment 	<ul style="list-style-type: none"> ● Makes suggestions for changes to regulations and procedures ● Makes suggestions to change acts and conditions ● Proactively looks for hazards 	<ul style="list-style-type: none"> ● Suggest new regulations and procedures ● Changes acts and conditions ● Proactively looks for hidden hazards or hazards that can cause issues in the long-term ● Makes resources available for health and safety monitoring, recoding, educating, maintenance, and improvement 	<ul style="list-style-type: none"> ● Ensures that regulations, conditions and procedures protect all AUB community members ● Enforces health and safety monitoring, recoding, educating, maintenance, and improvement

Strategic Thinking

Strategic Thinking is the ability to use the results of strategic analysis to establish and commit to a course of actions in order to accomplish the organizational vision and long term goals.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Implements strategic objectives and develops metrics to assess attainment of work unit goals ● Focuses on own short-term goals and ensures they are linked to the Organization's long term strategies ● Seeks practical and workable solutions that are easy to implement and are with minimal risk 	<ul style="list-style-type: none"> ● Conducts a review of the organizational mission and collects information from relevant sources to support the development of a strategic plan ● Applies various business plans while considering the strategic objectives ● Grasp opportunities to achieve strategic goals while managing risks and negative impacts based on facts/situations 	<ul style="list-style-type: none"> ● Establishes strategic performance measures for continuous assessment of the organization direction- ● Designs approaches and procedures to develop a strategic plan supporting core business goals and objectives ● Analyzes the implications of situations and develops effective methods and approaches to meet strategic goals 	<ul style="list-style-type: none"> ● Recognizes key strategic opportunities for change and prepares well in advance to take fullest advantage of this change ● Leads and directs a strategic planning team to address and outline the future direction of an organization ● Formulates efficient and strategic approaches to attain organizational vision that have significant rooms for opportunities in business development

Stress tolerance

Maintains focus, control, stable performance and composure under pressure or opposition (such as time pressure or job ambiguity). Handles stress in a manner that is acceptable to others and to the university.

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Keeps functioning effectively during periods of on-going low intensity stress ● Maintains focus during situations involving limited stress ● Refrains from impulsive behavior ● Remains focused on task despite distractions ● Keeps own emotions from interfering with stressful situations ● Seeks to balance work responsibilities and personal life responsibilities 	<ul style="list-style-type: none"> ● Maintains composure when dealing with short but intense stressful situations ● Displays a professional manner by tone of voice, attitude or comment when in stressful situations ● Does not become defensive when faced with criticism ● Stays calm in the face of others' anger or lack of control or when faced with complaints ● Adjusts to temporary peaks in stress levels ● Understands personal stress triggers and takes steps to limit their impact. ● Keeps issues and situations in perspective and reacts appropriately 	<ul style="list-style-type: none"> ● Maintains composure in highly stressful and difficult situations ● Adapts to prolonged stress by modifying work methods ● Redirects own or own team's efforts in response to changed circumstances to ensure effective problem solving ● Confronts the issue, not the person ● Maintains sound judgment and decision making despite on-going stressful situations ● Controls strong emotions or other stressful responses and takes action to respond constructively to the source of the problem ● Recognizes personal limits for workload and negotiates adjustments to minimize the effects of stress, while still ensuring appropriate levels of productivity 	<ul style="list-style-type: none"> ● Develops and applies stress reduction strategies to cope with long exposure to stressful situations ● Stays calm and focused under extremely stressful circumstances ● Makes thoughtful decisions evaluating the situation objectively even under severe stress ● Takes specific action to mediate between conflicting individuals or parties ● Demonstrates behaviors that help others remain calm, focused and energized during periods of extreme stress ● Maintains composure and shows self-control in the face of significant challenges ● Suspends judgment and thinks before acting ● Identifies and consistently

Technical Credibility

The ability to have high technical credibility by acquiring and applying new skills to stay up to date with own profession and industry, through tracking new advances and cutting-edge developments ,while acting as a technical expert and transferring technical knowledge and skills to others

Level 1	Level 2	Level 3	Level 4
<ul style="list-style-type: none"> ● Aware of new skills needed and the methods through which they can be acquired to be a better performer in their industry ● Aware of the new advances and cutting-edge developments in own technical field and always stays up to date with the most recent information about own profession ● Openly welcomes questions and queries from other employees seeking justifications and perceiving them as experts in their own industry 	<ul style="list-style-type: none"> ● Acquires and applies new skills that would allow one to stay up to date with own profession and achieve high performance ● Continuously seeks out information concerning new technical advances to make one's performance more effective ● Actively portray themselves as a trusted source for technical information and offers own services when one senses deficiency 	<ul style="list-style-type: none"> ● Shares newly developed technical skills with team members and coaches them to acquire and practice them properly ● Uses proper channels to share and acquire information with team members concerning the most recent advances in own technical field ● Trains, and motivates multiple levels of personnel to be excellent in technical expertise in order for them to develop in their own profession 	<ul style="list-style-type: none"> ● Establishes a culture of sharing newly needed and acquired technical skills per industry to be communicated to all levels of the organization ● Establishes strategic channels allow employees easy access to most recent technical and to highlight the value the organization places on such channels ● Establishes strategies to secure career development initiatives and succession plans for talented technical experts to train and motivate them

Appendix V- Informed Consent Form

Informed Consent Form

American University of Beirut

P.O. Box 11-0236, Riad El Solh, 1107 2020, Beirut, Lebanon

CONSENT TO SERVE AS A PARTICIPANT IN A RESEARCH PROJECT

Project Title: The American University of Beirut: a new Performance Appraisal tool.

Project Director: Haitham Khoury, PhD, hk51@aub.edu.lb, 01-350000 extension 3778

Research Investigator: Rania El Hajjar, rze04@mail.aub.edu

This informed consent form pertains to research studies (Consultancy type of project) that is concerned with developing the Performance Appraisal Forms used at AUB and align them with the institution's mission as well as introducing it as a tool that actually evaluates the competencies required across job families. This study is a Master's Consultancy Research Project conducted by Ms. Rania El Hajjar, a graduate student at the American University of Beirut (AUB), and supervised by Dr. Haitham Khoury, who is an industrial and organizational (I/O) psychologist and assistant professor of management, marketing, and entrepreneurship in the Suliman S. Olayan School of Business at AUB. This project is part of a process improvement project that aims at developing and improving the Performance Appraisal Form adopted at AUB.

Nature and Purpose of the Project:

The purpose of this study is to improve the performance appraisal system at AUB by introducing a new Performance Appraisal tool that fits the requirements of the institution and allows employees to be evaluated on the basis of clear guidelines.

For this purpose, 200 participants will be recruited for this study through both an online survey sent to employees with non-supervisory roles and an interview protocol with key managerial positions that have supervisory roles.

Explanation of Procedures:

As a research participant, you will be presented with the questionnaire battery by the research collaborator to fill out. All surveys and interview protocols will be developed and answered in English. These questionnaires are self-report in nature and hence you will be asked questions regarding your opinion.

Your name will not be asked, this is an anonymous study and hence your name will not be recorded on data coding systems used in this study. Only the primary investigator and the project director will have access to the anonymous data. All results will be kept in a locked cabinet in the office of the primary investigator for seven years after which the data will be shredded. It is estimated that your participation in the survey will last no more than 20-30 minutes.

Participants will be approached at the American University of Beirut.

Potential Discomfort and Risks:

Participation in this study involves no more than minimal risks ordinarily encountered in daily life or during performance of routine physical or psychological examinations or tests.

Potential Benefits:

The potential benefit is that you will participate in a study that will contribute to the development of the Performance Appraisal system currently used at AUB and thus, might benefit from a new system that would enhance your development opportunities. Another potential benefit is the opportunity to open-up through these questionnaires and interview protocols that might make you gain insight to certain factors that might have helped in shaping your experience and development.

Costs/Reimbursements:

There are no costs associated with participation in this research.

Alternative Procedures:

Should you decide not to give consent to participate in this research, there will be no penalty and no alternative procedures. Consent to participate is totally voluntary and there are no penalties imposed if consent is not provided.

Alternatives to Participation:

Should you decide not to give consent to participate in this research, there are no alternatives to participation.

Termination of Participation:

Should you decide to give consent to participate in this research, your participation might be terminated by the principal investigator or research director if the results show that you have not reported honestly or truthfully since such biased response might alter the findings of the study.

Confidentiality:

Participation in this research is anonymous and the results of your participation will be kept confidential to the fullest extent possible. This means that no one will know about your specific results, as no identifiers (e.g. your name and contact information) are requested. No one will be able to link your answers to a specific questionnaire. Only information that cannot be traced to you will be used in reports or manuscripts published or presented by the investigator or director. Raw data on data-recording systems will be kept in a locked cabinet in the office of the investigator for a period of seven years following the termination or publication of the study. After the seven years have elapsed, the raw data will be deleted (data entered on computer) and shredded (paper-based data).

Withdrawal from the Project:

Your participation in this survey and interview protocols is completely voluntary. You may withdraw your consent to participate in this research at any point without any explanation and without any penalty and without any loss of benefits to which you are otherwise entitled. You are free to decide not to complete the surveys or participate in the interviews at any point in time.

Debriefing:

If you are interested in learning about the outcome of the study, you may contact Rania El Hajjar and/or Dr. Haitham Khoury (contact information provided below). After data analysis will be completed, a summary of the results could be shared with you upon request.

Who to Call if You Have Any Questions:

The approval stamp on this consent form indicates that this project has been reviewed and approved for the period indicated by the American University of Beirut Institutional Review Board for the Protection of Human Subjects in Research and Research Related Activities.

If you have any questions about your rights as a research participant, or to report a research related concern, you may call:

Institutional Review Board (Ethics Committee), AUB: 01-350000 extension 5445

Appendix VI- Interview Protocol

Interview Protocol

Purpose: Get the Organizational Perspective from key Managers and Executives

Interview Questions

This interview will be conducted with key managers and executives at AUB who are engaged in the Performance Appraisal process in order to get a general view regarding the expectations of supervisors relating to the application of Performance Appraisal in their departments as well as discovering areas for improvement.

1. What is PM used for in your organization?
2. What would you like PM to accomplish ideally for your organization? (When asked to reflect on the differences between these two lists, participants always note that the first list relates to administrative purposes while the second list reflects the desire for performance management to actually increase individual and organizational performance.)
3. Do you conduct formal performance appraisals with your employees? If not, why?
4. How often do you conduct a formal performance appraisal with your employees?
5. Are you currently using a performance appraisal method that is different than the one applied by the Human Resources Department? If yes, please describe.
6. In your point of view what are the major benefits/advantages of the current performance appraisal tool at AUB?
7. In your point of view what are the major drawbacks of the current Performance Appraisal tool used at AUB?
8. Do the criteria measured in the Appraisal form fit/describe the main competencies and performance standards applied by the employee on the job? *(here, the interviewer will make sure that the interviewee is familiar with those competencies, and if not, the interviewer would provide the interviewee with a copy of the competencies considered)*
What competencies need to be revisited (Supervisor and Non-Supervisory forms) in order to align with the job requirements?
9. According to you, what is the main purpose behind conducting a performance appraisal? *(Probe: Is it helping you to plan your work well in the department? Is the current form used helping you in developing talents in your department?)* In other words, what decisions are taken subsequent to conducting employee performance appraisals? (Is it development? Promotion? Bonus? Etc.)

- 10.** What do you believe are the main competencies required from employees to perform their work as per AUB standards?
- 11.** Can you describe in detail how can the Performance Appraisal form be modified in order to align with its main objectives and fit the institution's mission and values?
- 12.** How can the Performance Appraisal system adopted at AUB become beneficial and appropriately used for future decisions?
- 13.** Do you see any flaws in the rating system adopted in the Performance Appraisal Form? What do you think are potential improvements to it? (*The interviewer presents to the interviewee the current rating system adopted to evaluate employee performance*), and to let you know what is good/bad about it, how to improve, etc.
- 14.** What additional attributes (or competencies or personal characteristics) should be included in the Performance appraisal form that you may find critical and beneficial to tackle?

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