

DISSERTATION

SUBSTANDARD JOB PERFORMANCE: DEVELOPMENT OF A MODEL AND THE
EXAMINATION OF POOR ORGANIZATIONAL PEFORMERS

Submitted by

Pamela J. Levine

Department of Psychology

In partial fulfillment of the requirements

For the Degree of Doctor of Philosophy

Colorado State University

Fort Collins, Colorado

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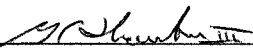
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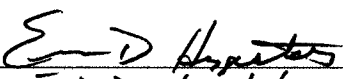
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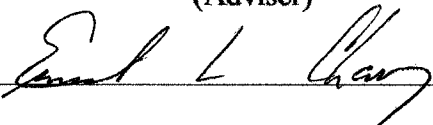
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GEORGE C. THORNTON III


Evelynn D. Borrado, Ph.D.


Eric D. Haggstad
(Adviser)


(Department Head/Director)

ABSTRACT OF DISSERTATION

SUBSTANDARD JOB PERFORMANCE: DEVELOPMENT OF A MODEL AND THE EXAMINATION OF POOR ORGANIZATIONAL PERFORMERS

While vast amounts of research and literature exist on the nature of effective job performance, the nature of ineffective job performance has been neglected. Therefore, the purpose of Study 1 was to develop a model of substandard job performance, defined as behaviors that fail to meet organizational expectations for success. A construct-oriented approach to model development was used, involving multiple rounds of data collection and revision. Initial model content was developed via a review of relevant literature. Additional feedback was collected from: (a) a web-based survey of managers, (b) a SME focus group, (c) comparison to existing performance models, (d) review by academicians specializing in performance/performance appraisal, and (e) managerial telephone interviews. The final model is organized into 2 broad domains, 11 content areas, 35 dimensions, and 218 behavioral indicators. In particular, the indicators provide specific examples of behavior characterized as errors of omission (the failure to engage in a desired behavior) and errors of commission (engagement in an undesirable behavior). The inclusion of both types of errors, in addition to the multiple levels of description, provides a detailed specification of substandard job performance, which can be used to aid the identification, understanding, and management of substandard job performance. The purpose of Study 2 was to evaluate the content validity of the model and to use the model to discern the nature of substandard performance in one organization. Specifically,

80 performance appraisal narratives from poor performers (employees on a performance improvement plan) were subjected to content analysis using the model developed in Study 1. The substandard performance issues found in the narratives were classified into the model's 35 dimensions, thus providing evidence in support of the model's content validity. Frequencies were examined at the dimension, content area, and domain levels for the entire set of 80 narratives as well as for narratives separated by work environment (i.e., corporate and retail). Overall, Study 2 provided a descriptive picture of substandard performance in one organization and compared substandard performance feedback in retail and corporate work environments. Implications and directions for future research are discussed.

Pamela J. Levine
Department of Psychology
Colorado State University
Fort Collins, CO 80523
Summer 2006

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CHAPTER I

Introduction

Substantial literature exists on the nature of job performance (e.g., Borman & Brush, 1993; Campbell, McCloy, Oppler, & Sager, 1993; Murphy, 1989). In fact, much effort has been made over the years to explicate categories of job behaviors in the hopes of creating a standard, comprehensive framework from which to understand, evaluate, and predict performance. On the one hand, these attempts have been fruitful in their categorization of performance-related competencies and behaviors. Despite the variety of performance models that exist, a number of categories have repeatedly surfaced (e.g., communication, problem-solving), and hence, have become widely recognized and accepted as being traditional categories of job performance. On the other hand, performance research and theory has primarily focused on the positive side of performance. That is, much has been written and discussed about what constitutes *effective* performance, meanwhile neglecting what constitutes *ineffective* performance.

The considerable inattention to poor performance may be attributed to a number of different factors. First, many of the primary concerns in Industrial/Organizational (I/O) psychology revolve around the desire to understand, measure, improve, and predict job performance (Austin & Villanova, 1992; Borman, 1991; Borman, Klimoski, & Ilgen, 2003; Campbell et al., 1993; Murphy, 1989; Viswesvaran & Ones, 2000). The most obvious approach in reaching this aim has been to study the behaviors of people considered to be *good* performers because it is the understanding and prediction of

success at work, after all, that is an ultimate objective. Often, practices targeted at defining or describing the performance domain, such as competency modeling and job analysis, focus on characteristics or behaviors of successful, or even exemplary, performers (DuBois, 1999). However, this neglect of the unsuccessful performer is shortsighted. Actually, the behaviors characterizing poor performance may be equally important when studying job success as are the behaviors characterizing effective performance.

As much as the construct of performance is discussed and used, relatively little is known about it, and comparatively few authors throughout the years attempted definitions of the construct they have so heavily discussed (Murphy, 1989). Hence, the second possible reason for the lack of attention paid to poor performance is that the study of effective performance, in and of itself, has encountered numerous challenges and obstacles (e.g., Austin & Villanova, 1992). There have been various attempts to delineate categories of effective performance with considerable differences in opinions regarding the optimal approach (Binning & Barrett, 1989; Motowidlo, 2003). For instance, some researchers promote the use of broad categories that may be applicable to a number of different jobs (e.g., Borman & Brush, 1993; Campbell et al., 1993), while others argue for greater specificity in their approach (e.g., Tett, Guterman, Bleier, & Murphy, 2000).

Additionally, the examination of job performance in different domains has also revealed the inherent challenge in trying to study such a complex phenomenon; namely, that behaviors considered critical for success may vary by time, industry, organizational level, and so forth. As such, the study of job performance has consisted of repeated attempts at defining and categorizing effective job performance from a variety of tactics.

Contrary to these obstacles is the notion that no model can provide a complete conceptualization of job performance for every job and purpose (Borman & Brush, 1993; Murphy, 1989; Coleman & Borman, 2000). Therefore, many researchers attempting construct definition have created models applicable to a wide variety of jobs, of which certain components may be more or less relevant depending on the particular job and context (e.g., Campbell et al., 1993). This approach is appealing in that it results in a more broadly applicable model (than if it was designed for a specific context) and, as such, characterizes the approach used in the current study.

A third reason for the neglect of poor performance may be the assumption that it is simply the opposite of good performance. Specifically, an ineffective performer is often thought to lack the characteristics and fail to engage in the behaviors of effective performers. In some ways, that assumption may be correct. A good performer may have strong communication skills whereas a poor performer may lack communication skills. However, there may be additional behaviors that characterize poor performance that are not represented by the polarization of the currently existing performance categories. In other words, poor performance may be characterized not only by the absence of certain behaviors, but by the presence of certain other behaviors. Thus, performance is far too complex to simply view it as a continuum from good to bad (Borman et al., 2003).

To illustrate, studies in other domains have erroneously conceptualized constructs as opposites. For example, debate has long surrounded the treatment of two mood-dispositional categories: positive affectivity (PA) and negative affectivity (NA). Many researchers assumed that these constructs reflected a bipolar category with PA on one end and NA on the other end. To the contrary, considerable evidence has been presented in

favor of the constructs representing two independent categories (e.g., Diener & Emmons, 1984; Watson & Clark, 1997; Watson, Clark, & Tellegen, 1988). Another example can be seen with organizational citizenship behavior and counterproductive work behavior, which were argued to be opposite extremes of a continuum, until recent evidence emerged distinguishing them as separate constructs (e.g., Kelloway, Loughlin, Barling, & Nault, 2002). As argued in these instances, two constructs with distinct antecedents and consequences and differential relationships with external factors should not be conceptualized as opposite poles of one construct. In this same way, the determinants, outcomes, and correlates of ineffective performance may differ from those associated with effective performance. Thus, the notion of poor performance is worthy of investigation as a separate, but related, construct.

A final reason offered for the lack of attention to poor performance is that there is no currently existing framework from which to appropriately examine this construct. Many researchers have addressed different aspects of negative or problematic work behavior: counterproductive work behavior (Miles, Borman, Spector, & Fox, 2002; Sackett & DeVore, 2001), workplace deviance (Robinson & Bennett, 1995), antisocial behavior (Giacalone & Greenberg, 1997), organizational withdrawal (Hanisch & Hulin, 1991), workplace aggression (Baron & Neuman, 1996), organizational retaliatory behavior (Skarlicki & Folger, 1997), organizational misbehavior (Vardi & Wiener, 1996), organizationally motivated aggression (O'Leary-Kelly, Griffin, & Glew, 1996), anticitizenship behavior (Ball, Trevino, & Sims, 1994), antirole behavior (McLean Parks & Kidder, 1994), organizational delinquency (Hogan & Hogan, 1989), organizational betrayal (Moberg, 1997), workplace harassment (Bjorkqvist, Osterman, & Hjelt-Back,

1994), employee vice (Moberg, 1997), incivility (Andersson & Pearson, 1999), maladaptation (Perlow & Latham, 1993), noncompliant behavior (Puffer, 1987), revenge (Bies & Tripp, 1996), tyranny (Ashforth, 1994), violence (Kinney, 1995), and workplace bullying (Rayner, 1997). (Note that these research areas will, hereafter, be collectively referred to as counterproductive behavior, unless stated otherwise.)

While the counterproductive behavior literature provides an important contribution toward expanding the full domain of work behaviors, none of these research streams adequately covers the conceptualization of unsuccessful work performance intended in this study. For instance, while there have been a variety of definitions proposed for counterproductive work behavior, Robinson and Greenberg (1998) noted that most of the definitions refer to the behavior as intentional. Additionally, Collins and Griffin (1998) observed that many of the definitions refer to a disregard for societal and organizational rules and values.

However, this connotation of counterproductive work behavior as the intentional violation of rules is somewhat different from the notion of employees who simply do not meet organizational performance expectations. Thus, the term *substandard performance* is used here to refer to the behaviors that fall below organizational standards for success. Granted, substandard performance likely includes the kinds of behavior studied under counterproductive behavior, but it also covers a broader conceptualization of everyday work performance. That is, substandard performance likely consists of more than just intentional, rule-breaking behaviors.

In sum, I/O research and literature, while attending to effective performance and blatantly counterproductive performance, has neglected the study of substandard

performance. Thus, one objective of this study is to develop a model of substandard job performance. The creation of an organizing framework will enable and promote the study of substandard performance. In particular, the model may reduce ambiguity, advance job performance theory, ease the application of research findings, and promote communication between scientists and practitioners (Bailey, 1994; Fleishman & Quaintance, 1984). Clearly, the description of substandard job performance is long overdue and has considerable ramifications for both theory and practice.

Performance Appraisal

One area where this lack of definition regarding substandard performance plays a critical role is in organizational performance appraisal. When evaluating organizational performers, managers must not only understand what constitutes a strong performer, but they must equally understand what constitutes a poor performer, as they inevitably must assess a wide range of performance behavior. In order to maximize appraisal effectiveness, managers need precision in the definition of the performance being appraised – a factor which is often missing in problematic appraisal systems (Bernardin, Hagan, Kane, & Villanova, 1998). Therefore, the science and practice of performance appraisal is tightly linked to the understanding of all facets of job performance.

A recent survey of human resource professionals (in organizations with at least 100 employees) found that 85% of the respondents' organizations participated in annual performance evaluations for all employees (Society for Human Resource Management, 2000). Additionally, there has been a considerable amount of research conducted on performance appraisals in the last few decades (for reviews, see, for example, Bernardin & Beatty, 1984; Bernardin & Villanova, 1986; Landy & Farr, 1980; Murphy &

Cleveland, 1995). However, one component of performance appraisals continues to be neglected in the literature: that of the performance narrative, or essay, where managers provide a written description of employee performance. Many organizational appraisal systems include these written summaries along with categorical/numerical ratings, yet research on the narrative has been close to nonexistent.

It is not clear why researchers have ignored the performance narrative up to this point. One possibility is the belief that the written review is superficial. That is, it is possible that managers do not feel comfortable recording negative issues, especially if they are of a sensitive nature, because it then becomes an official record that can be seen by others, which can have serious ramifications for an employee's career (Longenecker, Sims, & Gioia, 1987). However, focus group interviews revealed that appraisers are generally not fearful of providing written feedback (Antonioni, 1996). Further, the existence of performance narratives containing negative feedback indicates that not all managers are resistant to recording negative concerns on paper.

Another possibility for the sole treatment of performance appraisal as a numerical rating process is that organizations prefer using numbers to drive organizational decision-making. That is, ratings may provide a more standardized, objective system for determining promotions, pay raises, terminations, and other personnel decisions. While this may be true, it does not detract from the impact that a performance narrative may have on the recipient. For instance, two recent surveys (Boiselle, Jennette, & Donohoe, 2004; Ferstl & Bruskiwicz, 2000) found that feedback recipients rated narrative feedback as more helpful than numerical feedback. Therefore, it is argued that managers need to recognize the narrative as an influential component of performance appraisal. It

seems there may be at least three reasons why the narrative may weigh heavily on appraisal reactions and subsequent outcomes: (a) The narrative provides a written record that may be referenced in the future after information discussed in the verbal feedback session may be forgotten; (b) the narrative contains more detail and greater specificity of feedback than the numerical rating; and (c) the narrative, via the manager's own words, highlights the interpersonal aspect of the review system, thereby personalizing the appraisal and potentially being more salient and influential than a numerical rating alone.

Moreover, a numerical rating system often must be tailored to particular jobs. Specifically, certain categories on which an individual is rated might be appropriate for one class of jobs, yet are not relevant to other jobs. As such, the narrative may be a form of performance appraisal that is more universally applicable than the numerical rating system. The same format for summarizing performance observations, strengths, weaknesses, and developmental plans can be used across any job type, which is why some organizations prefer to utilize the narrative review system. Overall, it is argued that the performance narrative represents a detailed reflection of the numerical rating, which may serve organizational needs and which may have significant impact on the recipients.

A recent survey of 140 organizations revealed that the performance narrative was the most commonly used form of performance appraisal (34%), beating out Management-by-Objectives (32%) and graphic rating scales (24%; Smith, Hornsby, & Shirmeyer, 1996). Smith et al. also noted that usage of the narrative increased from the 21% of organizations surveyed almost a decade earlier. Accordingly, the performance narrative may increase in usage and undergo an increase in attention in the coming years. Therefore, the performance appraisal narrative is, indeed, a worthy area of investigation.

In sum, narrative comments contain specific and detailed performance feedback, much more so than quantitative data. As such, the performance narrative may be a valuable source of information regarding the nature of substandard performance. Specifically, performance narratives can be used to gain insight about the occurrence and frequency of various substandard performance issues in organizations. Therefore, the second objective of this study was to examine a set of performance appraisal narratives from one organization's population of poor performers in order to ascertain the nature of substandard performance as documented in the appraisal process.

Summary

The purpose of this dissertation was to develop a model of substandard job performance and to evaluate and apply the proposed model using performance appraisal narratives of poor organizational performers. The project was divided into two studies. Study 1 consisted of the model development efforts and sought to answer the question: What are the behaviors that comprise substandard job performance? Study 2 consisted of the evaluation and application of the proposed model using a set of performance appraisal narratives and sought to answer the following questions: (a) Is there evidence of content validity for the proposed model; (b) what is the frequency with which the various substandard performance issues are documented in a sample of performance narratives from one organization; and (c) how does the appearance of substandard performance issues in the performance narratives differ depending on the work environment? Together, the studies provide an exploratory and descriptive look into substandard job performance.

CHAPTER 2

Study 1: Literature Review and Study Overview

A Construct-Oriented Approach to Defining Substandard Performance

Well-accepted is the notion that performance is multidimensional and complex. Over the years, there have been a variety of methods used to delineate dimensions of job performance. Murphy (1989) discusses four methods: the factor analytic approach, the job analytic approach, the human factors engineering approach, and the construct-oriented approach. Murphy describes various limitations in the first three approaches. For instance, the dimensions resulting from factor analysis and job analysis are highly influenced by the structure of the instruments used. In particular, job analysis questionnaires or other performance measures necessitate a priori decisions about the boundaries and structure of the domain. In other words, the use of those measures assumes that the measures adequately span the domain of interest and subsequently dictates the structure of the resulting dimensions. Further, factor analysis places arbitrary statistical limitations on the data, which impose a potentially artificial structure to the resulting dimensions. Human factors engineering approaches for defining performance dimensions are also limited in that the analysis of physical, cognitive, or psychomotor task demands is difficult with complex or ambiguous tasks. Additionally, this approach is focused solely on task performance, while it is well accepted that job performance represents more than task performance.

Murphy (1989) advocates use of the construct-oriented approach when defining job performance. This method results in the researcher defining, rather than discovering, dimensions of job performance. The construct-oriented definition of performance dimensions relies on expert opinion and informed judgment to delineate a set observable behaviors, which makes an abstract word explicit and which ensures that the dimensions have a conceptual, rather than purely empirical, basis (Hedley, 1993; Murphy, 1989). It is advantageous in that no statistical limitations are imposed and the resulting dimensions do not depend on the validity of measures used. Hedley also notes that this approach is advantageous to the rational sorting of critical incidents, which is an often-used method, in that the researcher has the freedom to define the construct by adding to the definition when necessary rather than being limited to the sorting material.

Due to the lack of research on substandard job performance, the construct-oriented approach was selected as the most appropriate method for the initial definition of the substandard performance dimensions. However, in addition to the informed judgment of the researcher, the logic and expertise of others was utilized to guard against bias and oversight. Before the methods are described in detail, a brief overview of the performance literature is presented.

Review of Job Performance Models

When defining an aspect of the performance domain, it is important to consider previous attempts at performance definition found in the literature. Among the various efforts, there have been three typical approaches: (a) to define general categories of performance that apply across most job types, (b) to define performance categories specific to a particular job type or industry, or (c) to focus on categories that should be

considered in addition to task performance. Below, a few of the most commonly referenced examples of these approaches are listed. Additional details, including the categories and accompanying definitions of these models, are provided as Appendix A.

In terms of the first approach, Campbell (1990), Murphy (1989), and Viswesvaran (1993) proposed general models of job performance that were suggested to apply to most job types. For instance, Campbell's model (1990; also Campbell et al., 1993) is one of the most commonly referenced models of job performance. He proposed eight general dimensions of job performance, of which at least a subset would apply to any job. Murphy (1989) proposed four dimensions of job performance, arguing that three of the four (task accomplishment, down-time behaviors, and interpersonal relations) were universal dimensions of job performance. Viswesvaran (1993) also targeted general job performance with his 10 dimensions.

Others, however, preferred to narrow their focus to a particular job type or industry. For instance, some researchers concentrated on managerial performance, such as Borman and Brush (1993), Conway (2000), and Tett et al. (2000). Still, others defined performance for even more specific groups of employees: Hunt (1996) developed performance categories for hourly, entry-level employees in service industries; Hedge, Borman, Bruskiwicz, and Bourne (2004) defined performance for U.S. Navy supervisors; and Campbell, Dunnette, Arvey, and Hellervik (1973) defined performance for retail store managers and assistant managers.

The third approach, which was to broaden the construct space by focusing on categories that have not traditionally been considered with task performance, has addressed three major areas: (a) adaptive performance, (b) citizenship behaviors, and (c)

counterproductive behaviors. Pulakos, Arad, Donovan, and Plamondon (2000), who felt that adaptability had been left out from earlier models of general performance, proposed eight categories of adaptive performance. In terms of citizenship behavior, Organ (1988) defined five categories of discretionary behaviors that promote effective organizational functioning. Additionally, a variety of other researchers addressed related concepts, such as organizational spontaneity (George & Brief, 1992) and prosocial organizational behavior (Brief & Motowidlo, 1986). Thus, Podsakoff, MacKenzie, Paine, and Bachrach (2000) reviewed various citizenship constructs in the literature and observed seven categories that spanned the different conceptualizations. Further, some researchers noted higher-order factors, delineating more broadly between task and contextual performance (e.g., Borman & Motowidlo, 1993; Motowidlo, Borman, & Schmit, 1997).

Finally, multiple efforts have been aimed at addressing counterproductive behaviors. Initially, various negative work behaviors such as absenteeism, violence, and theft were treated as discrete domains, which resulted in separate theory and literature for each topic. More recently, researchers realized commonalities or underlying patterns among various constructs and began to group them together. For instance, Hanisch (1995) advocated the study of organizational withdrawal as a behavioral family consisting of two factors: job withdrawal (e.g., turnover, retirement) and work withdrawal (e.g., absence, lateness). Other researchers began to group behaviors under broader terms like counterproductive behavior and workplace deviance. For example, Gruys (1999) proposed 11 categories of counterproductive work behaviors, which included behaviors such as theft, absenteeism, alcohol abuse, and misuse of resources.

Similarly, Robinson and Bennett (1995) addressed different types of deviant work behavior.

Other researchers have opted for greater specificity, choosing to target a more narrow construct space. For instance, Andersson and Pearson (1999) chose to investigate incivility, or behaviors that represent a disregard for other people, because they perceived the rest of the literature to be focused on major deviance such as aggression and violence. Puffer (1987) chose to examine non-task behaviors with negative organizational implications under the term noncompliant behavior. Efforts such as these indicate that researchers have broadened their focus on negative behavior by including more minor (and perhaps, more frequent) occurrences of negative interactions in the workplace. However, many researchers still choose to define their constructs in such a way as to include notions of intentional harm and rule violations. For instance, Sackett and DeVore (2001) defined counterproductive work behavior as “intentional behavior on the part of an organization member viewed by the organization as contrary to its legitimate interests” (p. 145). After reviewing multiple variations of definitions, Martinko, Gundlach, and Douglas (2002) defined counterproductive behavior as “behavior by an organizational member that results in harming the organization or its members” (p. 37). As mentioned previously, the definitions typically found in the counterproductive literature clearly address intentional, harmful, or rule-violating behavior – all of which do not adequately converge with the broad notion of substandard performance.

Summary

Overall, much attention has been given to the definition of the job performance domain, covering behaviors related to adaptability, organizational citizenship,

counterproductive behavior, and effective performance in a variety of industries and levels. As discussed previously, these attempts have neglected to address the full range of behaviors that comprise substandard job performance. Still, insight regarding substandard performance is gained via consideration of these performance models.

Additional Considerations for Substandard Performance Behaviors

In addition to the considerations brought forth in the job performance literature, other possibilities of behaviors exist that may warrant inclusion when defining substandard job performance. Certain behaviors may not have received attention in other treatments of job performance. For instance, there may be more contemporary issues, like a greater emphasis on employee development by managers, which have not received attention in past taxonomies (Tett et al., 2000). Alternatively, certain categories of substandard performance may be defined or detailed in a novel way compared to the definitions typically observed in models of effective performance. Moreover, changes in social or cultural acceptability/desirability over time can create new interpretations of behavior that differ from conceptualizations in the past. Therefore, a number of areas were reviewed for provision of possible content to supplement the conceptualization of substandard performance.

One example of a behavioral component that may appear in notions of substandard performance refers to stress. Stress at work, and the recognition of its impact, has been increasing in recent years due to changes such as global competition, mergers and acquisitions, and downsizing, which have negatively impacted employees via expanded roles, longer working hours, and greater threats to job security (Quick, Cooper, Nelson, Quick, & Gavin, 2003). Thus, the effects of this increased and continuous stress

are likely to be seen in the workforce, particularly among poor performers who have a hard time managing stress.

Traditionally, when researchers have acknowledged stress in models of performance, they have addressed one's ability to handle stress (i.e., to remain calm and composed in stressful situations). As such, stress management has been addressed in terms of affect and demeanor. However, in addition to the emotional component of stress-related behaviors, there may be effects related to carelessness, accidents, and mistakes when stress is not managed appropriately. Further, Sutherland and Cooper (2002) argued that a minimal amount of stress may be beneficial, in that a condition called "rust-out" may occur in the absence of stress, which is characterized by signs of apathy, boredom, low morale, and a lack of self-worth. Additionally, Quick et al. (2003) discussed how the positive side of stress is related to positive psychological states, such as engagement, which refers to a positive state of immersion in demands of one's work. As such, poor performers may suffer from disengagement if appropriate positive and negative stress levels are not maintained.

The notion of burnout might provide insight about behaviors characterizing substandard performance. For instance, Maslach and Jackson (1981) found that employees might exhibit signs of emotional exhaustion, cynicism, detachment, and a lack of professional efficacy. Relatedly, Quick et al. (2003) discuss the recent recognition of the importance of employee health in organizations. They suggest that organizations should be concerned about the health of their workforce and should take preventive and corrective steps towards enhancing both the physical and psychological health of employees.

Work-family (or work-life) balance issues have long been a concern for workers, but receive greater attention in the contemporary environment (Hammer, Colton, Caubet, & Brockwood, 2002). Quick et al. (2003) describe a recent survey, which found that 65% of managers felt that the amount of work they did adversely affected their health, and that 72% of managers felt that their workload affected their relationships with their partner. Thus, greater awareness and greater needs to balance multiple demands at work with one's multiple demands at home are likely to impact the way stress and time management are conceptualized.

Another concern in today's workplaces that is receiving more attention, and in different ways, is that of social dysfunction (Ham, Van Dyke, & Hope, 2002). In contrast to a more narrow view of effective communication, managers increasingly value a more extensive range of behaviors reflecting appropriate interpersonal interactions. In addition to the nature of one's verbal communication, there has been increased attention given to nonverbal communication due to the recognition of the amount and depth of communication that takes place via nonverbal channels (Salovey & Mayer, 1990). Building on studies of nonverbal communication, some researchers have emphasized the importance of emotional intelligence. Salovey and Mayer described it as "...the ability to monitor one's own and others' feelings and emotions, to discriminate among them and to use this information to guide one's thinking and actions" (p. 189). Goleman (2000) explained that the ability to manage oneself and one's relationships resulted in greater work success. Thus, a lack of self-awareness, self-management, social awareness, and social skills might contribute to substandard performance.

Perhaps different aspects of social dysfunction are highlighted in today's workplaces compared to those of the past due to the changing nature of the work environment (e.g., longer hours, career instability, less work-life balance) and increased awareness of mood/affective disorders in our current workforce (Thomas & Hersen, 2002). For instance, Quick et al. (2003) discussed the increasing prevalence of anxiety and anxiety disorders in our country. Thus, there may be a greater willingness and need for managers to address emotional issues with respect to subordinate performance.

Another component of the increased focus on interpersonal interactions in the workplace can be seen in the study of constructs such as social undermining (Duffy, Ganster, & Pagon, 2002). Duffy et al. defined social undermining as "behavior intended to hinder, over time, the ability to establish and maintain positive interpersonal relationships, work-related success, and favorable reputation" (p. 332). They discuss how social undermining can have a variety of negative outcomes in the workplace, thus being very costly to organizations.

An additional social behavior that has received increased attention in recent years is impression management, which refers to behaviors that individuals use to create and maintain desired impressions of themselves and others (Gardner, 1992). Gardner and Martinko (1998) emphasize how impression management techniques can be dysfunctional, an aspect that has been overlooked in the past. For instance, employees may engage in behaviors such as playing dumb, projecting a false image of fairness, or intentionally displaying a bad attitude to avoid work assignments. Employees may tell supervisors what they want to hear rather than conveying accurate information. Even traditional impression management techniques can go awry if overused, which may result

in the individual being seen as insincere and manipulative. For example, people often use defensive tactics such as apologies to manage impressions. However, if over-used or used inappropriately, the individual may be viewed as an “excuse-maker.” Employees may also use negative strategies, such as intimidation, to manage their own impression, or they may try to negatively manage the impressions of others, such as with image-spoiling.

Even further, some researchers (Mohamed, Gardner, & Paolillo, 1999) have discussed how employees can engage in negative organizational impression management, wherein dysfunctional behaviors such as misrepresenting or distorting information may have a negative effect on the organization’s image. These dysfunctional impression management techniques may contribute to the conceptualization of substandard performance.

Another topic area related to dysfunctional impression management is that of dysfunctional political behavior (Kacmar & Carlson, 1998), which includes behaviors that are self-serving and organizationally non-sanctioned. For instance, employees may inappropriately use downward power to make subordinates perform activities that support the supervisor’s own personal goals. Other examples of inappropriate politics may be showing favoritism when making decisions or engaging in excessive self-serving behavior. In these ways, dysfunctional political behavior may be another example of substandard behavior that has been neglected from previous models of job performance.

Additionally, passive-aggressive behavior is a common workplace phenomenon, which is often omitted from discussions of performance. Binning and Wagner (2002) define passive-aggressive behavior as a lack of appropriate behavior manifested as a

passive withholding of action, where the aggressive intent is hidden, and which results in degraded organizational efficiency. They note that passive-aggressive behavior is more common than outright aggressive behavior, is more likely to occur at work than any other setting, and may increase in frequency due to recent employment conditions characterized by anxiety, hostility, distrust, and fear due to downsizing. Binning and Wagner suggest that this form of behavior can slow work processes and is especially destructive to interpersonal relationships. Thus, it may deserve attention in the conceptualization of substandard performance behaviors.

Technological advances create other contemporary concerns for work behavior. For instance, employees may resist the use of new technology with behaviors such as complaining or refusing to use new technology or not attending training for new approaches (Martinko, Henry, & Zmud, 1996). Similarly, computer misuse can range from intentional, illicit activities such as fraud, sabotage, and invasion of privacy (Kesar & Rogerson, 1998) to less blatant but disruptive activities like using the Internet or email for personal business.

Bennett and Robinson (2003) note that technological advancement not only has revolutionized the way we do work, but has also multiplied opportunities for employees to *not* work. Anandarajan, Simmers, and Igarria (2000) note that efficiency may decrease due to the vast time-wasting that occurs from Internet usage at work. They discuss a study of a manufacturing company, which found that 90% of the websites accessed in one day by the company's workforce were non-work-related. Greenfield and Davis (2002) conducted a survey of human resource directors in 224 companies and found that employees were reprimanded or disciplined for accessing the following types of non-job

related websites (listed from highest to lowest frequency of occurrence): pornography, chat/personals, games, sports, investing, shopping/auction, gambling, and hate groups.

In fact, researchers have adopted new terminology for this kind of behavior, such as cyberloafing (any voluntary act of using company Internet access during office hours to surf non-job related websites for personal purposes and to check personal email; Lim, 2002) and cyberslacking (the wasting of time and company resources by entertaining oneself on the Internet when one should be working; Lavoie & Pychyl, 2001). In addition to decreased productivity, computer and Internet misuse can cost organizations in terms of legal vulnerability, damaged equipment (e.g., exposure to computer viruses), and bandwidth drain (Everton, Mastrangelo, & Jolton, 2005; Greenfield & Davis, 2002; Lim, 2002). Thus, organizations should be concerned with the amount of technology misuse that may be impacting performance. Still, other intentional technology-related deviance includes sabotaging computer programs, stealing proprietary information, executing viruses, and hacking into private computer space (Bennett & Robinson, 2003). Whether intentionally destructive or not, it is likely that technology has created new concerns for substandard performance in today's organizations.

Summary

The literature reviewed above suggests additional possibilities for substandard job behaviors, which have not received much attention in prior models of job performance. It may be that portions of the substandard performance model stem from more contemporary concerns, like technology; areas that have been previously neglected in models of job performance, such as passive-aggressive behavior; and re-conceptualizations of common work phenomena, such as stress and social interaction.

Study 1 Overview

The objective of Study 1 was to develop a model of substandard job performance based on relevant literature and expert/managerial input. The model development utilized a construct-oriented approach to defining and classifying substandard behaviors, which yielded categories of substandard performance. As Fleishman and Quaintance (1984) noted, the process of classification is the recognition of similarities and the groupings of objects based on those similarities. Taxonomy, in contrast, refers to the science of how to classify and identify objects, which includes the bases, principles, procedures, and rules for classification (Bailey, 1994). This study focused on the specification and classification of behaviors, which may be initial steps toward taxonomy development, but which does not yield the complete taxonomy. Note that the term *categorization* is used synonymously with the term *classification* to describe both the process and the end result of which behaviors were grouped and labeled into a descriptive scheme. In sum, the first study was concerned with devising the optimal arrangement and nomenclature for an organizing framework of substandard performance behaviors.

The methodology used to devise the nomenclature and to develop the framework was derived from the open coding methodology used in grounded theory analysis. Grounded theory is a qualitative research methodology that refers to the discovery of theory through examination of data (Glaser & Strauss, 1967). The techniques involved in grounded theory are characterized by the interplay between researcher and data, alternating between processes of data collection and analysis (Strauss & Corbin, 1998). Thus, theory and description emerge from, and are grounded in, the data.

The technique of open coding refers to the analytic process through which the concepts of interest are identified and the defining characteristics of those concepts are discovered in the data (Strauss & Corbin, 1998). In other words, the data are reduced into manageable pieces, compared, and grouped with other conceptually similar entities. In this study, open coding is used to label and define substandard performance themes found in the literature. The first step involves sifting through the text, labeling the concepts of interest. Comparative analysis is used to include other substandard performance themes in the same “code” or label, or to create additional categories depending on the level of conceptual similarity. As the process continues, the researcher begins to notice that more abstract, higher-order groupings of concepts can be created. Additionally, the researcher defines the category characteristics and attributes, along with any subcategories, which serve to further specify the categories.

To aid in the process of conceptual categorization, the technique of memoing was applied. Memos are the records of analysis, thoughts, interpretations, and questions – notes that are jotted down in order to link concepts together and to develop key categories so that a more integrated understanding may emerge (Miles & Huberman, 1994; Strauss & Corbin, 1998). Memoing can be used to aid conceptual categorization as it helps the researcher to cluster the themes based on commonalities (Miles & Huberman, 1994). The memos become part of the iterative process of data collection and analysis, as memos get reviewed, sorted, and resorted along the way. The researcher continues to collect and analyze the information until reaching theoretical saturation – the point at which considering new information does not add to the explanation (Strauss & Corbin, 1998).

Throughout this nonlinear process, the researcher must remain flexible and open, resisting the temptation to come to a conclusion too quickly (Strauss & Corbin, 1998). Strauss and Corbin note that the researcher, becoming absorbed in the data, is an instrument in the data collection in that the researcher brings previous experiences, knowledge, and creativity to the analytical process. They advise that personal experiences enable the researcher to compare concepts, aiding in the interpretation, but that care must be taken to avoid the influence of bias as much as possible. For instance, they suggest engaging in triangulation (using multiple methods to gather data; Jick, 1979) and collecting multiple viewpoints from different people. Strauss and Corbin also suggest that the researcher check her assumptions by presenting her interpretations to others and asking for feedback. Thus, the open coding technique was used to develop initial categories from literature, followed by the collection of additional data from managers and subject matter experts (SMEs) via alternate methods to gather feedback and to combat researcher bias.

CHAPTER 3

Study 1 Methodology

Overview

The objective of devising a model, or organizing framework, was to enable description and reduction of complexity (Bailey, 1994). This first study was conducted to develop a model of substandard performance behaviors, which consisted of the following steps: 1) formulation of content based on relevant literature, 2) surveying of managers working in a variety of organizations, 3) arrangement of content into a descriptive structure using SMEs, 4) collection of feedback from academicians, and 5) collection of feedback from managers via structured interviews.

Definitions and Terminology

Performance. A recurring topic in the performance literature is the difficulty involved with conceptualizing and measuring multidimensional constructs such as performance (e.g., Austin & Villanova, 1992; Smith, 1976), known as the criterion problem. One rule that has been advocated due to the inherent challenge involved with the study of criteria is to clarify the target of one's approach; namely, whether the focus is on behavior, results, effectiveness, or productivity of individuals or groups. Thus, it should be specified that the focus of the current study is the behavior of individuals. Note that not all work-related behavior is observable, such as cognitive behavior, yet these behaviors are included in the conceptualization of performance. Therefore, performance, as examined here, refers to organization-relevant actions that are under the individual's

control (Campbell et al., 1993). As Borman and Brush (1993), for one, stated, performance refers to the evaluative component of behavior in that it focuses on behaviors that differentiate between doing a job effectively and ineffectively. In contrast, results are the outcome of behavior; effectiveness refers to the evaluation of results; and productivity, according to Mahoney (1988), is the ratio of effectiveness (outputs) to the cost of achieving that level of effectiveness (inputs). As Campbell et al. (1993) noted, these other conceptualizations are affected by more than just the actions of individuals. Thus, measures of results, effectiveness, and productivity may be contaminated by situational factors. While such measures are, indeed, important for organizations to understand and use, individual performance may be most appropriately studied at the behavioral level to avoid contextual influences as much as possible.

Substandard performance. As noted previously, the term substandard is used here to refer to behaviors that fall short of satisfying the standards prescribed by the organization. In other words, substandard performance is represented as a set of behaviors which fail to meet organizational expectations for success and which, over time, serve to detract from organizational goals. The incorporation of organizational expectations and goals was gained, in Study 1, via surveys and interviews with managers, and via the performance appraisal narratives in Study 2. As Murphy (1989) noted, there may be enough overlap in job demands and organizational goals to justify development of a framework that can apply to a large class of jobs. Thus, the current study aimed to define substandard performance for a broad range of exempt employees. The term exempt refers to a classification of positions not regulated under the Fair Labor Standards Act regarding minimum wage and overtime provisions. Exempt positions are typically

salaried and generally require higher levels of skills and abilities, such as using discretion and independent judgment (for more information, see <http://www.dol.gov/esa/whd/flsa/>).

Substandard performance categories. Any groupings into which the substandard performance behaviors are sorted are referred to as categories. However, the final structure of the model was intended to be hierarchical in nature such that multiple layers of categories exist. In other words, a broad categorization was specified as the top level, with each successive level becoming increasingly narrow, and with behavioral examples listed as the bottom level. While all groupings, regardless of level, are categories, each level of categories is labeled with a particular term to distinguish between the levels of specificity. These terms are introduced in the Results section as part of the focus group's outcome.

Substandard performance themes/issues. The model's content was developed based on relevant literature and managerial input. These sources provided suggestions for content through the reference of a single behavior or an aggregation of behaviors deemed to reflect substandard performance. In the literature, the discussion of these behaviors is conceptualized as representing *themes* of substandard performance. Thus, one step of this study required the extraction of substandard performance themes, which were then broken down into more specific behaviors. Similarly, the managerial participants in this study were questioned about their observation of substandard performance *issues* in their organizations. The issues, like themes, may refer to a single behavior or a behavioral aggregate. Ultimately, the terms *theme* and *issue* are synonymous, but are distinguished by their use in the context of the literature or the organization, respectively.

Method

Formulation of Initial Categories Based on Literature Review

The first step in the development of the substandard performance model was to review the literature for relevant content. First, a literature search was conducted to locate articles that contained models of effective job performance. Next, a search located articles that referenced other positive and negative job behaviors, such as citizenship and counterproductive work behavior. Finally, a search located other literature addressing additional potential topics related to substandard performance: stress, health, work/life balance, social dysfunction, technology, impression management, organizational politics, and passive-aggressive behavior. A total of 54 sources (marked with an asterisk in the reference section) were used to develop the initial substandard performance content. These sources were deemed to have a firm foundation in literature and data due to the variety of methods by which the models in those sources were developed (e.g., literature reviews, job analyses, critical incidents, supervisor ratings, factor analyses, etc.).

In accordance with the open coding methodology of grounded theory, the author coded themes in the literature as the concepts of interest, clustering themes together based on similarity of content. As Miles and Huberman (1994) explained, clustering is the process of inductively forming categories and the iterative sorting of concepts into those categories. To aid this process, the author wrote memos on index cards. These memos helped the author to sort through the multitude of concepts, making sense of the data as the categories emerged.

To be specific, the first step was to label the themes in the literature with a word or phrase that described the theme. For instance, in the literature containing models of

effective job performance, each theme of effective job performance was polarized so that a negative (undesirable) conceptualization of that content area was recorded onto an index card. The goal of this step was to capture the most specific conceptualization of each theme onto separate index cards. The author recorded themes and omitted duplicates when possible throughout the process. A total of 493 index cards containing potential substandard performance themes were created. It should be noted that the focus was on behaviors that could be observed and documented in the context of performance appraisal. Additionally, the author disregarded behaviors which may create annoyance in the workplace, such as name-dropping and ingratiation, but which are not necessarily detrimental to performance.

Next, the author sorted through the cards to create initial groupings based on similarity of content, again using additional index cards to write memos containing observations and thoughts about potential patterns and clusters in the data. The author then engaged in cycles of review and revision to the conceptual categorization, which included the following elements: creating tentative labels for the categories, resorting themes based on the labels, revising the labels, removing duplicates, rearranging themes, removing themes which were deemed inappropriate for exempt employees (e.g., themes related to hourly employees), and removing themes which were deemed inapplicable for a general employee population (e.g., themes specific to one industry). In total, 179 themes were removed after being deemed inappropriate or overlapping, leaving 314 behavioral themes.

Collection of Managerial Input

The goal of the next step was to collect managerial input regarding the initial set of substandard performance themes. When one attempts definition of the performance domain, it is important to be familiar with the organization's goals (Campbell et al., 1993; Murphy, 1989). Therefore, organizational perspective was gained by surveying managers from a variety of organizations in order to assess whether or not adequate content had been collected via the literature. The managers reviewed the initial substandard performance themes and provided suggestions for addition/revision based on their observations of substandard performance issues in their particular organization.

Procedure. A web-based survey was created that displayed the 314 substandard performance themes that had been collected from the literature. The author gathered email addresses of 31 university alumni, 351 members of the Society for Industrial and Organizational Psychology (SIOP), 1 personal contact, and 247 executives listed in the Lead411 online database (a fee-based database service, which provides contact information for organizations' key decision makers). An email was sent to these 630 possible participants. Eighty-seven emails were returned to the author via the email delivery system for having unknown recipients (most likely as a result of out-of-date contact information). Thus, a total of 543 people received the email invitation to participate in the survey.

The email contained a brief explanation of the project, a description of the requirements for participation, and a link to the host website. The email requested input from anyone who was a manager/supervisor of at least one exempt employee (currently, or in the past year) and is/was responsible for conducting performance appraisal(s) of

his/her employee(s). Additionally, the participants were informed that they could enter to win a \$25 gift card after survey completion.

Once the participant visited the linked website, another set of instructions was displayed along with the initial substandard performance content and survey questions (see Appendix B). The participants were instructed to review the initial content and to provide suggestions for additional content and removal of existing content. Participants were specifically instructed to think about errors of omission (the failure to engage in a desired behavior) as well as errors of commission (engaging in an incorrect/undesirable behavior). Additionally, participants were encouraged to consider behavior related directly to task performance as well as those behaviors related to contextual performance (having an indirect or supportive relationship to task performance). An additional four questions required participants to rate the completeness, usefulness, and applicability of this model while also providing space for additional comments. Six demographic questions were listed at the end, along with a field to enter email addresses to be considered for the gift card drawing.

The survey responses were recorded into a data file. The responses were categorized, tallied, and subjected to the author's judgment and interpretation in the revision of existing categories and the creation of new categories.

Participants. In order to qualify as a participant, survey responders must have been working in a direct supervisory/managerial position that involved performance appraisal of exempt employees (at the time of the survey, or within the last year). While it was unknown how many of the 543 email recipients actually met the criteria for participation, 16 managers responded to the survey, resulting in a 3% response rate.

Fourteen managers responded to the demographic questions at the end of the survey. Of the 14 managers that reported their information, 10 (71%) were female. In terms of age, 10 (71%) of the respondents reported being in the 26-44 years of age range, with the remaining 4 (29%) in the 45-65 years of age range. In terms of full-time work experience, 5 (36%) of the respondents had 6-10 years of work experience, 1 (7%) of the respondents had 11-15 years, 5 (36%) of the respondents had 16-20 years, 2 (14%) of the respondents had 26-30 years, and 1 (7%) of the respondents had over 41 years of experience. Nine (64%) of the respondents were directly responsible for 1-10 employees, 4 (29%) were responsible for 11-25 employees, and 1 (7%) was responsible for over 51 employees.

Respondents worked in a variety of jobs that were categorized into established occupational categories (see <http://www.bls.gov/oco/cg/home.htm>). Four (29%) of the respondents worked in the manufacturing industry, 2 (14%) worked in transportation/utilities, 2 (14%) worked in finance, 3 (21%) worked in professional/business services (management consulting), and 3 (21%) worked in education/health services. Job titles of respondents were: HR Director (2), VP of HR (2), HR Manager (2), Head of Executive Development, Director of Finance & Operations, Manager of Employee Research, Manager, Senior Director of Executive Development, Manager of Talent Management, Director of Consulting Services, and Director of Organizational Effectiveness.

SME Panel to Determine Hierarchical Arrangement of Categories

The next step consisted of a focus group among SMEs in order to discuss the hierarchical arrangement of the categories. Focus groups are based on the idea that

participants' opinions are formed after reflecting upon others' opinions, thus encouraging greater depth of thought compared to one-on-one interviews (Marshall & Rossman, 1999). The facilitator is charged with asking focused questions, encouraging discussion, and soliciting expression of different points of view. The objective was to create the different levels of categorization, so that the top level consisted of the broadest categorization, thereby subsuming each successive level, which becomes increasingly specific.

Procedure. The author (as facilitator) convened four SMEs to discuss the hierarchical arrangement of the categories. Instructions were provided, along with a description of how a focus group works (see Appendix C). The group began by having the SMEs review the revised model and independently record notes regarding their opinion of the optimal arrangement. Next, the author encouraged each SME to share their thoughts about the arrangement. The group discussed alternatives and details until consensus was achieved and one arrangement was agreed upon. The facilitator took notes regarding the comments throughout the process and detailed the final arrangement on paper. The discussion lasted 90 minutes. SMEs were paid \$20 per hour of their time. The model was then revised based on the agreed-upon arrangement and various suggestions from SMEs were incorporated into this revision.

Subject Matter Experts. Four advanced graduate students served as SMEs. Three of the SMEs (75%) were female. The average age of the SME group was 33 years and their years of work experience ranged from 2 to 22, with an average of 8 years. All SMEs had their master's degree (three of which were in I/O psychology) and all SMEs had completed at least 2 years in an I/O psychology doctoral program.

Breadth of Content Comparison

After the hierarchical arrangement was determined and the model was revised based on SME input, definitions were created to accompany the categories. In order to ensure that adequate breadth of content had been captured, various performance models in other studies were reviewed. Specifically, the models used in the initial content creation step were reviewed again, along with several additional models (e.g., Ball, Trevino, & Sims, 1994; Bass, 1990; Borman, Ackerman, & Kubisiak, 1994; Giacalone & Greenberg, 1997) in order to compare the content of the performance components with the content of the current model.

Additionally, a model of effective performance behavior was obtained from an international human resources consulting firm. This applied instrument was based on over 30 years of research and consulting experience and was developed to provide an organizing framework and behavioral expectations for employees. The instrument was designed to be comprehensive in that it presented a dictionary of behaviors from which organizations might select behaviors to use in their own, customized human resources applications.

The content represented in the applied model of effective performance was compared to the content represented in the model of substandard performance. In particular, the applied model's 26 competencies were used to examine whether a related, undesirable facet of each competency was included in the model of substandard performance. Additionally, the applied model's specific behaviors were reviewed.

Performance Experts' Feedback

In another effort to check the revised model and accompanying definitions, feedback was collected from academicians who have published on the topic of job performance and/or performance appraisal. Again, revisions to the model were made based on the experts' feedback.

Procedure. Twenty-two I/O psychology professors (who were recognized authors in the field of performance and/or performance management) were contacted via email. The email provided a brief description of the project and a request for feedback. Email recipients were instructed to reply via email if they were able to participate, after which a cover letter (see Appendix D) and the model were emailed to them. In particular, experts were asked to comment on the following topics with respect to the model: (a) breadth/depth of content, (b) structural arrangement (domains, content areas, dimensions, indicators), (c) clarity of wording, (d) use of both errors of omission and commission, (e) potential value of this model, and (f) overall impression. Six of the 22 individuals (27%) agreed to participate.

Participants. The six participants were professors in academic institutions and recognized authors in the field of performance and/or performance management. All participants were male and had received a Ph.D. in Psychology or I/O psychology. They had an average age of 54 years and an average of 27 years of work experience since completing their doctorate.

Managerial Interviews

The next step consisted of a final review by managers regarding their feedback on the revised indicators, wording, and structure. Verbal interviews were chosen as an

alternative method to the written feedback that was gathered earlier. In this way, the interviews enabled more in-depth feedback to be gathered for the final arrangement and categorization.

Procedure. An email was sent out to a list of five potential participants consisting of university alumni and personal contacts affiliated with the graduate program who were working as managers in various industries. The email included an explanation of the project, a description of the requirements for participation, and an overview of the task. Willing participants were instructed to respond via email to the author in order to set up a time for the interview and to receive the materials. Four individuals (80%) agreed to participate. The managers were then sent an electronic version of the cover letter, demographic questionnaire, and the model for review prior to the interview. The author called each manager on the scheduled date/time and conducted the interview according to the script. Appendix E contains the cover letter, demographic questionnaire, and interview script.

During the interview, managers were asked to discuss their perspectives on the following topics: (a) inclusion of all important content areas, (b) appropriate emphasis of the included content areas, (c) inclusion of trivial issues or redundancies, (d) the amount of overlap/distinction among categories, (e) level of specificity in indicators, (f) observability of the indicators, (g) the structural arrangement, (h) specific wording, (i) potential uses and the ease of use in own organization, and (j) strengths and weaknesses of the model. The average length of the interviews was 55 minutes.

Participants. In order to qualify as a participant, respondents must have been working in a direct supervisory/managerial position that involved performance appraisal

of subordinate employees (at the time of the survey, or within the last year). Four managers served as participants. Fifty percent of the participants were male. Participants averaged 46 years of age, 20 years of work experience, and managerial responsibility over 6 direct report employees. Job titles of the participants were: HR Manager, Consulting Services Customer Leader, Acting Program Director of Human Factors Research and Engineering, and Performance Management Leader. Participants worked in the following industries: trade, government, professional/business services, and high technology.

CHAPTER 4

Study 1 Results

Formulation of Initial Categories

Table 1 contains the listing of initial behaviors that was created via the literature review and card-sorting procedure.

Table 1
Initial Substandard Performance Content

Poor Work
Has a poor work reputation
Does not maintain sufficient technical knowledge and proficiency
Lacks job-related knowledge
Lacks job-related skills
Doesn't complete core tasks
Resists task completion
Produces slow or sloppy work
Produces errors, inaccuracies
Is unconcerned with work quality
Is unconcerned with work quantity
Leaves work for others to finish
Appears unprepared
Lacks attention to detail
Creates/causes on-the-job accidents
Poor client/customer focus
Does not carry out orders/directives
Inadequate Stress Reactions
Allows anxiety/stress to inhibit performance
Incites stress/panic in others
Addresses conflict inappropriately
Doesn't know what to do in crisis situations
Reacts inappropriately to emergencies/crises
Gets frazzled under pressure
Doesn't bounce back quickly from stress
Cannot tolerate deviations from routine

Makes mistakes, becomes careless under pressure
Gives up in the face of challenge, ambiguity
Struggles with the demands of multiple roles
Is unable to multi-task

Deficient Interpersonal Skills

Is not insightful about self or others (lack of self and other awareness)
Is tactless
Does not put others at ease/fails to establish rapport
Does not behave with empathy for others
Is not accepted by others
Fails to develop/maintain effective working relationships
Is unaware of situational cues regarding appropriate behavior
Avoids interpersonal interactions
Appears awkward in interpersonal interactions
Is argumentative
Is insensitive
Is rude
Is impatient
Appears unprofessional
Has poor emotion control: unable to manage emotions; displays inappropriate expression of positive and negative emotions; behavior is dictated by mood fluctuations
Lacks awareness of emotions
Cannot handle (reacts poorly to) criticism, rejection
Is overly sensitive
Talks down to others
Engages in passive expression of aggression
Instigates interpersonal conflict
Is untrustworthy
Is dishonest

Failure to Maintain Physical Well-Being

Appears lethargic
Displays signs of exhaustion
Does not maintain personal appearance
Is frequently sick

Lacks Team Orientation

Lacks team spirit
Is the social loafer or free rider in groups
Detracts from team performance
Is uncooperative
Does not help to integrate others' roles for collaboration (team building)
Does not collaborate with others

Does not help or give advice to others
Puts personal interests ahead of group's interests (is self-serving)
Competes with others in unproductive ways
Inappropriately claims responsibility for others' work
Does not defend others when appropriate

Ineffective Leadership

Does not balance interests of own unit with those of the entire organization
Fails to monitor unit progress
Does not lead change
Does not display personal concern for subordinates
Does not adequately evaluate performance of subordinates
Does not give timely, specific feedback
Does not provide learning opportunities for subordinates
Does not provide strategic vision to subordinates
Does not make subordinates feel valued
Does not adapt leadership style to the situation
Does not provide clear direction/guidance
Is unfamiliar with subordinates' behavior/fails to maintain knowledge of their duties
Uses intimidation to get things done
Does not ensure needed resources are available
Does not set goals for subordinates
Does not teach new approaches to subordinates
Has a negative influence on subordinate performance
Is a poor role model
Does not adequately reward/punish subordinates
Does not induce extra performance from subordinates
Fails to appropriately recognize subordinate contributions/achievements
Criticizes work in a destructive manner
Fails to maintain standards (or holds inconsistent standards) for subordinate performance
Does not identify training needs
Does not ensure training in response to identification of subordinate needs
Does not engage in continuous coaching
Is not concerned with subordinate skill improvement
Engages in ineffective material resource utilization
Engages in ineffective personnel utilization
Makes poor staffing decisions (recruiting, interviewing, selecting, transferring, promoting)
Does not maintain career development system for subordinates
Does not persuade subordinates to achieve excellence for its own sake
Does not delegate work appropriately
Does not consider the match between subordinate interests/abilities and the tasks

assigned to them

Does not consider the overall organizational needs when assigning responsibilities

Does not relinquish any decision-making authority to deserving subordinates

Does not articulate unit goals

Does not inspire subordinates

Micromanages subordinates

Fails to take charge

Does not command respect from subordinates

Shows favoritism

Inappropriately uses power

Projects a false image of fairness

Ineffective Time Management

Often arrives late to work or leaves early for family reasons

Lets personal concerns interfere with work progress

Allows family demands to create time pressure at work

Has difficulty managing work and family demands

Reacts slowly to organizational demands/doesn't keep pace

Does not meet deadlines

Wastes time

Engages in task-irrelevant behavior, such as daydreaming or conducting personal business

Takes extended breaks

Gets distracted from task easily

Displays a lack of urgency with clients, customers, or stakeholders

Poor Decision Making and Problem Solving

Uses poor judgment

Makes unfair decisions

Makes poor decisions

Does not make timely decisions

Does not consider all of the relevant information when making decisions

Has difficulty with technical problems

Does not forecast problems

Does not recognize problem situations/lacks awareness

Does not know which pieces of information are most relevant for the specific problem

Improperly interprets data

Makes incorrect inferences

Does not seek input

Does not consider alternative approaches

Does not generate creative approaches

Has difficulty solving ill-defined or complex problems

Cannot think outside typical parameters

Is unwilling/hesitant to make difficult decisions

Poor Planning and Organization

Poorly assembles/organizes resources
Does not control costs/adhere to budget
Does not anticipate changes in demands
Does not prioritize work
Does not think strategically
Does not plan/prepare before acting
Does not gather the needed information
Does not choose appropriate goals/objectives
Does not have methods for organizing information
Keeps an unorganized work space
Lacks discipline
Keeps inaccurate or incomplete records
Falls behind with administrative tasks
Has difficulty scheduling
Acts on impulses

Harassing Behavior Towards Others

Makes fun of others
Embarrasses others
Makes ethnic, religious, or racial remarks
Highlights negative aspects of others
Plays pranks
Belittles/minimizes positive contributions of others
Insults others
Ridicules others
Gives others the silent treatment
Invades others' privacy
Tries to retaliate against others
Tries to spoil coworkers' reputations
Engages in excessive gossip
Cheats customers, clients, or coworkers
Discourages others
Engages in inappropriate physical action: bodily contact, obscene gestures

Intentionally Destructive/Deviant Behavior

Steals money or merchandise
Works under the influence of alcohol or drugs
Allows work quality to suffer from alcohol or drug use outside of work
Sabotages production
Threatens violence
Destroys/tampers with equipment, materials or information
Vandalizes property

Initiates/instigates aggressive acts with others
Engages in technology-related deviance: sabotages computer programs, steals proprietary information, executes viruses, or hacks into private computer space

Disrespectful, Uncommitted, and Unaware of Organization

Reveals confidential information to outsiders
Does not defend the organization to outsiders
Does not exhibit pride in promoting/representing the organization to outsiders
Misrepresents/distorts information about the organization
Does not remain committed to the organization under adverse conditions
Is disloyal to the organization's values/goals
Is unaware of industry trends
Does not maintain awareness of competitors
Does not stay informed about issues relevant to the success of the organization
Does not support the organization's mission
Does not display organizational savvy
Politically naïve: does not understand political relationships and power distribution
Lacks organizational awareness
Does not think about the organization's best interests
Is wasteful with resources
Litters in work environment
Talks negatively about company
Does not look out for threats and opportunities in the environment
Does not comply with rules/regulations/policies/procedures
Outwardly questions/criticizes the organization's policies/procedures
Outwardly questions/criticizes the organization's higher authorities
Uses inappropriate lines of authority (i.e., skips over immediate supervisor)
Violates safety/security rules and regulations
Breaks rules/regulations
Does not conform to culture/norms
Is unethical, compromises values, lacks integrity
Underreports absenteeism
Misuses expense account
Misuses employee discounts
Gives away goods/services
Falsifies records
Falsifies receipts to get reimbursed
Uses company property for personal use
Uses computer for inappropriate personal use: downloading illegal material, viewing inappropriate material
Uses computer to search for a new job on company time

Poor Work Attitude/Work Ethic

Has a cynical attitude

Appears dissatisfied
Has low morale
Exhibits signs of apathy
Expresses envy and resentment towards others
Complains of being misunderstood and unappreciated
Has an unruly, inflammatory attitude toward work
Voices exaggerated and persistent complaints of personal misfortune
Complains about inconveniences and impositions
Makes excessive excuses
Broadcasts own limitations
Blames others
Complains about new technology
Uses politics instead of effort to get ahead
Will not rearrange schedule to accommodate demands (stay late/arrive early)
Is not dedicated to the job
Does not persist when things get tough
Does not display enthusiasm
Lacks professional efficacy/feelings of competence
Is overconfident about own skills and abilities
Acts helpless
Lacks confidence
Does not follow through/fulfill commitments
Has a negative attitude about authority
Arrives late
Leaves early
Misuses sick leave
Engages in excessive absenteeism

Complacent/Avoidant Behavior at Work

Turns down work
Shirks responsibility
Displays low personal involvement
Does not find personal meaning through work
Does not appear to feel part of the larger whole
Appears detached from work and others
Sticks to oneself
Deflects accountability
Withdraws from work
Avoids formal and informal training
Resists technology use
Does not go beyond minimal requirements
Gives minimal effort
Does not take initiative

Is not proactive
Does not volunteer for extra responsibilities
Appears lazy
Does not seek ways to improve own, group, or organizational functioning
Does not engage in self-development activities
Does not balance self-development with core task completion
Avoids feedback
Disregards feedback
Is passive regarding own performance/career
Does not ask for help when warranted
Covers up mistakes
Avoids/fears change or new work
Appears unwilling to handle difficult situations
Is unassertive
Will not confront problems
Is unwilling to deliver bad news/unpopular opinions
Plays dumb
Does not attend meetings
Cyberslacking (Internet procrastination): uses Internet for non-work relevant information and entertainment
Engages in excessive personal emailing
Does not seek new activities during down-time

Poor Communication

Uses inappropriate eye contact
Uses inappropriate/awkward nonverbal communication
Displays poor posture
Uses inappropriate tone, volume, and speed
Uses inappropriate facial expressions
Is unclear and ineffective in oral communications
Is unclear and ineffective in written communications
Struggles with informal "small talk"
Is repetitive or excessive in making a point
Gives awkward and ineffective presentations
Has poor listening skills/does not attend to others
Does not tailor communication for audience
Does not know when to speak up versus when to stay quiet
Interrupts/finishes the sentences of others
Engages in excessive/inappropriate self-disclosure
Engages in inappropriate expressions of opinion
Apologizes at inappropriate times
Chooses inappropriate content for workplace conversations
Tells people what they want to hear instead of the truth

Gives incorrect or misleading information
Withholds needed information
Creates or forwards inappropriate emails
Presents weak/ineffective arguments
Swears/curses frequently

Intolerance/Rigidity

Is closed-minded to new ideas
Cannot adapt to a rapidly changing environment
Resists change
Cannot modify goals as demands necessitate
Does not learn about or understand other cultural groups
Does not work well with diverse personalities
Does not integrate well/is not comfortable with others having different values/customs
Is disrespectful/intolerant of diverse others
Does not value differences in opinions/approaches
Does not appreciate diversity of cultures
Does not adapt to discomfort in the physical environment (temperature, noise)
Does not adapt to meet the physical requirements of job tasks
Is inflexible
Does not know when/how to tailor behavior to the situation

Managerial Survey Responses

Managers were asked to provide suggestions for addition and removal of content from each of the 16 categories. Respondents provided a total of 214 suggestions. Many comments (32%) led to revised wording or placement of behaviors in the model (e.g., “Produces poor work quality” instead of “Is unconcerned with work quality”). Twenty-six percent of the comments addressed new behaviors that had not been included, thus creating additional content (e.g., “Needs repeated instruction when learning new tasks”). In some cases (17% of the comments), respondents provided suggestions for the addition of behaviors that were already represented in the model (e.g., “Poor time management”). Ten percent of the comments were duplicates of other respondents’ comments. Some of the comments (9%) were general comments about the model (e.g., “I like this category”

or “There are too many behaviors listed here”). Four percent of the comments led to deletions of content (e.g., “has poor work reputation”). Finally, 1% of the comments were suggestions with which the author found disagreement, such as the addition of “returns to work sick” which, while perhaps undesirable, is not necessarily indicative of poor performance.

Overall, survey respondents provided useful comments for the revision, addition, and deletion of content. An important theme voiced throughout the respondents’ suggestions was to separate perceptions from behavior in order to keep the content within the limits of observable or behaviorally based items. Another important point was to avoid name-calling or negative labeling, such as with the terms *social loafing* or *free-riding*. Additionally, a couple of the respondents pointed out that caution is needed when addressing employee sickness because of the Americans with Disabilities Act, which prohibits employers from discriminating in any employment practice against qualified individuals with certain physical or mental impairments. Finally, others pointed out that items addressing work-family balance should be written to more generally reflect work-life balance because the lack of balance is what matters, not who or what is creating that lack of balance.

Additional questions asked about the completeness, utility, and application of this model, as well as any other general comments. When asked about the completeness of the initial listing of behaviors, survey respondents provided a mean rating of 4.57 ($SD = .65$) on a 5-point scale, with 5 being *very complete*. When asked how useful a model of substandard performance would be in their organization, respondents provided a mean rating of 3.86 ($SD = 1.03$) on a 5-point scale, with 5 being *extremely useful*. When asked

how the model might be used in their organization, respondents mentioned: training, coaching, performance reviews/360s, and to determine when employees are “slipping into that danger zone of becoming a real problem employee.” Finally, one respondent provided an additional comment suggesting that the model had too much information, while two respondents commented that they would like to see a tool that listed both positive and negative behaviors. The managerial suggestions led to revised categories, seen in Appendix F.

SME Focus Group

The focus group discussed the most appropriate hierarchical arrangement for the broad groupings. Consensus was easily reached regarding the two broad groupings related to task issues and interpersonal issues, but the third grouping was less clear. The final decision resulted in three broad domains: anti-task, anti-interaction, and anti-job/work behaviors. The discussion then focused on the categories beneath the broad domains. Consensus was quickly reached as to the placement of each category. However, there was much discussion surrounding the specific placement of behaviors into categories. SMEs commented frequently about how various behaviors could reasonably be placed into multiple categories. Discussion ensued regarding specific instances of nomenclature and placement so that consensus was reached on a number of specific behaviors.

SMEs also suggested deletion of some items that were deemed to lack behavioral basis or to lack importance (e.g., “Does not find personal meaning through work” was determined to be an undesirable description, but not a behavior indicative of poor performance). Additionally, the group suggested revisions to wording, such as adding

“without permission” to the item “Gives away goods/services.” The group also discussed the use of negative wording versus more neutral wording. The negative wording used in some instances (e.g., “Insults others”) was determined to be more descriptive than the neutral wording used in other instances (e.g., “Does not behave with empathy for others”). Discussion focused on how the preferred wording may depend on the particular usage of the model. For instance, a manager may be better able to identify and specify poor performance with the negative wording, but the neutral wording may be preferable to use as a basis for content in performance appraisals. The author took notes on the group’s suggestions and revised the model.

The model was revised into 3 broad domains, 10 major content areas, 34 dimensions, and 197 behavioral indicators. Definitions were created for each domain, content area, and dimension. The author decided to present each specific behavioral indicator as an error of omission (the failure to engage in a behavior) and a related error of commission (engagement in an incorrect/undesirable behavior). In this way, a broader range of content is spanned and potential users of the model have flexibility in identifying problematic performance to account for both the lack of desired behaviors and the demonstration of undesirable behaviors. Thus, this format can help users to clarify whether there was an omission or commission, which specifies more directly what the poor performer did or did not do in failing to meet organizational expectations. Finally, the format may enable users to choose their desired wording in performance appraisals, for instance, depending on the intention and circumstance. Appendix G contains the post-SME model.

Breadth of Content Comparison

For the most part, the content in the existing performance models was well represented in the model of substandard job performance. A few slight revisions were made based on particular wording of behavioral indicators. For instance, the word “minor” was inserted into an indicator to read “allows minor obstacles or distractions to interfere with work.” Additionally, a couple of new indicators were added to represent additional content, such as lacking the knowledge of specific methods or procedures relevant for task completion or equipment usage.

The comparison between the applied model of performance (from the human resources consulting firm) and the current model also indicated adequate coverage by the substandard performance model. Specifically, the topics represented by the applied model’s 26 competencies were addressed in the model of substandard performance. Appendix H provides a chart displaying the links between the applied model’s 26 competencies and the current model’s 35 dimensions. Because of the proprietary nature of the applied model, numbers, instead of the actual nomenclature, label the competencies.

Expert Feedback

Comments from the performance experts were categorized into the following groups: (a) positive evaluations, (b) negative evaluations, (c) suggestions about content or structure, (d) comments about potential uses, (e) comments regarding future work, and (f) miscellaneous comments. Comments ranged in length from one sentence to multiple paragraphs addressing a single topic.

Eight comments were categorized as positive evaluations. These comments were either of a general nature (e.g., “The model looks quite exhaustive and comprehensive – nice job”) or more specific to particular characteristics/components of the model (e.g., “Your idea to include both errors of omission and commission was a great one”). There were four comments of a more negative nature. For instance, one reviewer felt that the model was “quite daunting in its thoroughness and negativity” while another reviewer suggested that these behaviors should be understood in relation to behaviors contributing to excellent performance as well. Twelve comments addressed the model’s specific content or structure. For example, some of the comments referred to content that should be included (e.g., sexuality in the workplace) or made clearer (e.g., setting inappropriate goals in the planning dimension). Revisions were made based on some of these suggestions, such as with the revision of low commitment behaviors to suggest a more detrimental, than just undesirable, behavior (e.g., “Expresses disagreement with the organization’s mission” was changed so that it was preceded by the word “openly”). One participant provided suggestions for more major structural rearrangement, such as the merging of the Anti-Job/Work domain with the other two domains.

The remaining comments provided general reactions and insight regarding the potential applicability and research potential of this model. Four comments addressed potential uses of the model (e.g., training managers to diagnose problem scenarios), with one comment suggesting that caution was needed when using the model for feedback purposes so that the employee does not become demoralized from the amount of negative behaviors addressed. Three comments suggested ideas for future research, such as examining whether or not employees and managers perceive and evaluate these

dysfunctional behaviors the same way. Finally, there were three miscellaneous comments that provided suggestions for the literature review, evaluating the quality of the model, and comparing the model to an unpublished model created by the reviewer. Overall, the experts were receptive to the model and provided helpful suggestions.

The model, revised after conducting the content comparison and receiving the experts' feedback, is shown in Appendix I. At this revision, the model consisted of 3 broad domains, 10 content areas, 35 dimensions, and 227 indicators.

Managerial Interviews

When asked about the completeness of the model, respondents were in agreement that there were no major gaps in content. Four suggestions were given regarding possible content additions. For instance, one respondent noted the distinction between physical and informational security and suggested adding content that addresses informational/technological security. Additionally, four suggestions were given regarding possible content deletions. Suggestions for deletion addressed content at the indicator level (e.g., "Does not know limits of responsibility" was suggested for removal because it was unclear), with the exception of the "Low commitment" dimension. More than one respondent felt that the low commitment indicators were not appropriately conceptualized as poor performance, but one respondent noted that the underlying issue reflects low engagement, for which employees in her organization are held accountable.

Similar to the discussion of low commitment, 12 comments involved the appropriateness of various indicators with respect to performance management or feedback sessions. Two respondents noted content that would be grounds for immediate termination rather than performance feedback. While this was taken into consideration,

the content was retained so that the model included a wide breadth of content due to potential differences in organizations. In other words, while some organizations might immediately terminate an employee for certain issues, other organizations might consider the same issues to be appropriate for narrative feedback. Further, it is important for organizations to be aware of these issues and to document them should they occur.

When asked about the overlap in the model, respondents generally felt the model was acceptable, noting that there will always be some overlap in efforts such as this one. When asked about the specificity of the model, respondents commented on eight indicators for revision. For example, one respondent felt that “does not motivate others to do their job” needed to be more specific and that “continually apologizes for things outside his/her control” was too specific.

Ten comments addressed the observability of the model content. For instance, one respondent wondered what it looked like to “monitor the environment for danger.” Twelve comments addressed the arrangement of the model content. One theme that emerged from these comments was that the domain arrangement was more of a theoretical issue that did not affect the usage. Respondents that commented further about the arrangement expressed a preference for two domains representing what an employee does and how they do it. Generally, the anti-job/work domain was viewed to be less distinct and possibly combinable with the anti-task and anti-interaction domains.

Twenty-five comments addressed specific wording in terms of the labels, definitions, or indicators. The majority of these comments addressed minor wording changes, such as adding qualifying words like “effective” to indicators such as “fails to generate solutions for stress-inducing situations.” However, one respondent suggested

removing the academic tone from some indicators, as in the indicator addressing “power asymmetries.” More than one respondent did not like the term “anti-” in the domain labels because the implications were too negative.

Finally, when asked about the strengths/weaknesses and potential uses of the model, 16 comments were provided. The only weaknesses addressed were the overwhelming amount of detail and the need to tailor some of the content to one’s specific organization or role. However, respondents noted that the amount of detail was also a strength of the model and that some tailoring of content was inevitable. Respondents were positive about the benefits of this model, noting that it helped them to think about current problem employees in their own organizations. Specifically, respondents felt that the model provided verbiage to help managers define and articulate their often-amorphous employee issues. They noted that the indicators served as prompts to help make the situation more concrete. Ultimately, this would speed and improve diagnosis and documentation of poor performance. Respondents also suggested additional uses such as using the model in a coaching training class to create managerial scripts for dealing with poor performers or to aid managers in building their talent pipelines. All of the respondents’ comments were considered in the final model revision.

Final Model

The final model of substandard job performance is listed below, as Table 2. It consists of 2 broad domains, 11 content areas, 35 dimensions, and 218 indicators.

Table 2
Final Model of Substandard Job Performance

DEFICIENT RESULTS

This domain encompasses issues that hinder goal achievement and lead to poor results. It deals with one's inadequate management of tasks/projects, one's failure to produce products/services, and one's undesirable approach to work in general. It includes susceptibility to hazardous conditions, inappropriate conduct with respect to equipment/resources/procedures, and one's lack of business-mindedness when trying to achieve results.

POOR PROBLEM SOLVING/DECISION-MAKING: *This content area is concerned with poor approaches to solving problems and making decisions, which result in untimely, inappropriate, erroneous, or unfair solutions/decisions. This area includes deficiencies in gathering/evaluating information and selecting among alternatives, as well as the avoidance of these processes.*

Inadequate problem analysis: *This dimension addresses an employee's deficient approach to problems, including poor analysis of the situation and the inadequate generation of possible solutions.*

- | | |
|---|--|
| Fails to recognize and articulate the problem at hand | e.g., identifies the wrong issue to be addressed. |
| Fails to identify the cause of the problem | e.g., plans to treat the symptoms of the problem instead of the cause. |
| Does not gather relevant information | e.g., utilizes limited or irrelevant information. |
| Does not synthesize information from a variety of sources | e.g., uses only one source or one point of view. |

Does not recognize when adequate information has been obtained

e.g., gathers excessive information and does not proceed in a timely manner to select a course of action.

Fails to properly interpret data

e.g., miscalculates or makes analytic errors.

Does not generate innovative options

e.g., generates only the most obvious approaches when more effective possibilities exist.

Does not moderate his/her creative process

e.g., experiments with new ideas beyond reasonable limits.

Poor judgment:

This dimension addresses an employee's failure to make sound decisions via deficient selection and implementation of a course of action.

Does not weigh facts over subjectivity in making decisions

e.g., allows bias or initial preferences to influence decision.

Fails to evaluate a range of alternatives when making decisions

e.g., selects the first option when other options exist.

Fails to consider the positive and negative side effects and implications of one's decision

e.g., forges ahead with a course of action without considering and planning for the consequences.

Fails to select the most practical/optimal solutions

e.g., chooses impractical or ineffective courses of action.

	Does not make fair decisions	e.g., shows favoritism, nepotism, or special preference for certain people/groups.
	Fails to evaluate the appropriateness of the decision as it is being implemented	e.g., implements the decision without awareness of needed modifications.
Avoidance of problem solving/decision-making:	<i>This dimension addresses an employee's passive and active avoidance of problem solving or decision-making responsibility.</i>	
	Fails to make difficult decisions within the needed time period	e.g., hesitates when making difficult decisions until the opportunity to act has passed.
	Does not forecast problem situations	e.g., ignores warning signs of impending problems.
	Does not approach complex situations	e.g., states that there is no solution for complex problems.
	Does not attempt to solve problems on his/her own, when called for	e.g., passes the problem on to manager or others when it is within own area of responsibility.
DEFICIENT PLANNING AND ORGANIZING:	<i>This content area is concerned with inadequate planning and organizing, which results in haphazard, misdirected, or unstructured work. This area includes deficiencies in the preparation, monitoring, and organization of work and its related resources.</i>	
Inadequate preparation:	<i>This dimension addresses an employee's failure to prepare for the task, his/her short-term thinking, and erroneous approach when beginning new tasks.</i>	
	Does not ask questions when unclear on direction	e.g., begins task with inadequate understanding of objectives or specifications.

Does not prioritize tasks	e.g., addresses non-essential tasks before tackling more critical tasks.
Does not map out a concrete plan that contains steps in logical order	e.g., works in a nonlinear manner when a stepwise approach is optimal.
Does not make contingency plans	e.g., assumes constancy when planning within unstable conditions.
Does not speak up when overloaded with work	e.g., over-commits and takes on an unfeasible amount of work.
Fails to set appropriate budgets and/or timelines	e.g., over- or underestimates the money or time required.
Does not specify, locate, and/or arrange necessary resources ahead of time	e.g., makes last-minute requests for resources when prior notice was possible.

Poor oversight:

This dimension addresses an employee's failure to monitor and adapt the financial/material/human resources throughout the course of the project.

Does not adhere to the budget	e.g., incurs unanticipated expenses throughout the project course.
Does not track the amount of material resources needed and/or used	e.g., wastes or lacks resources throughout the project course.
Does not keep others informed about the project status in a timely manner	e.g., withholds information or misleads others regarding the progress, schedule, or scope of the work.

	Does not adapt plans to accommodate new demands	e.g., adheres to unrealistic or inappropriate goals throughout the project course.
	Does not identify and/or communicate process breakdowns	e.g., ignores or conceals process breakdowns.
	Does not adequately control tasks/activities within timeline	e.g., often requests timeline extensions.
	Disorganization: <i>This dimension addresses an employee's difficulty with scheduling, paperwork, and maintenance of important information and materials.</i>	
	Does not develop, use, or maintain methods or tools for tracking tasks and information (i.e., calendars, to-do lists)	e.g., makes scheduling errors, forgets activities, and/or constantly reschedules prior commitments.
	Does not maintain an organized workspace	e.g., often loses important documents, materials, or information.
	Does not stay current with administrative tasks	e.g., keeps inaccurate, incomplete, or unorganized records/files.
UNACCEPTABLE TASK OUTPUT:	<i>This content area is concerned with unacceptable output in regards to core task performance, which results in the evaluation of the output as inaccurate, incomplete, improper, or poorly done. This area includes deficiencies in the quality, quantity, speed, and completeness of the products and/or services with which one works. It also includes technical deficiencies that affect the output.</i>	
	Unacceptable quality: <i>This dimension addresses an employee's failure to meet standards of quality and his/her production of poorly done work.</i>	
	Fails to attend to important details	e.g., produces work containing errors, inaccuracies, or inconsistencies.

	Does not comply with instructions/plans	e.g., produces the wrong product or service.
	Does not maintain top quality standards	e.g., produces work or services that fall short of quality standards.
Unacceptable quantity/productivity:	<i>This dimension addresses an employee's deficiency in terms of productivity, which includes slow and incomplete work as well as failing to meet standards of quantity.</i>	
	Does not reach numerical targets	e.g., produces less (or more) than the targeted amount of products/services.
	Does not follow through with products/services to completion	e.g., submits unfinished work or leaves work for others to finish.
	Does not learn new procedures quickly	e.g., requires repeated instruction.
	Fails to leverage technology to save time	e.g., chooses inefficient methods, such as physically delivering a document instead of emailing it.
	Fails to maintain adequate work pace	e.g., works long hours just to meet minimum standards.
Technical deficiency:	<i>This dimension addresses an employee's failure to learn, develop, demonstrate, and recognize proficiency in his/her area of expertise.</i>	
	Does not remain current in job-relevant knowledge or skills	e.g., relies on knowledge or skills that are incompatible/inappropriate for the job tasks.

- Does not maintain up-to-date technical proficiency e.g., utilizes defunct tools or technology.
- Does not follow specific task- or equipment-related methods/procedures taught by the organization e.g., ignores training and devises inappropriate methods/procedures for task completion or equipment usage.
- Does not demonstrate adequate understanding of role/responsibilities e.g., neglects portions of role and/or adheres to a limited view of role
- Does not ask for help when a deficiency is recognized e.g., admits deficiency later, after initially concealing it.
- Does not have a realistic sense of own abilities and limitations e.g., acts overconfident or insecure when asked to take on work.

POOR WORK ETHIC:

This content area is concerned with an employee's undesirable work ethic, which results in employee behavior that may be judged as complacent, unfocused, irresponsible, or excessively negative. This area includes deficiencies in one's responsibility, developmental interests, attitude, ability to focus on the task, and to show initiative in meeting the needs of others.

Poor task focus:

This dimension addresses an employee's inability to maintain task focus and the poor regulation of his/her time off-task.

	Does not maintain balance between work and personal life	e.g., allows trivial, non-work demands to interfere with work.
	Does not monitor break time	e.g., takes long and frequent breaks away from work area.
	Does not maintain task focus	e.g., reads non-job-relevant materials (books, newspapers, magazines); engages in cyberslacking (using Internet for entertainment or non-work purposes); engages in excessive personal emailing or excessive conversation with coworkers.
Low initiative/service orientation:	<i>This dimension addresses an employee's lack of drive and self-starting behavior, as well as one's poor service orientation in meeting the needs of others, whether they are managers, subordinates, coworkers, clients/customers, vendors, or other parties.</i>	
	Fails to initiate work on his/her own	e.g., waits to be asked or instructed for every activity.
	Does not reasonably manage ambiguous projects	e.g., asks for excessive definition and guidance without trying to figure it out on own.

Does not initiate work immediately	e.g., procrastinates.
Does not remain engaged by work	e.g., appears indifferent and avoids activity.
Does not go out of one's way to anticipate and meet others' needs	e.g., does the bare minimum to address others' needs.
Does not seek ways to improve own, group, or organizational functioning	e.g., adheres to inefficient methods.
Does not put forth maximum effort	e.g., relies on others to get things done.
Displays a lack of urgency when dealing with others	e.g., acts slowly in meeting the needs of others.
Does not accept the work assigned	e.g., turns down or neglects work.

Low accountability: *This dimension addresses an employee's lack of ownership and undependable behavior at work as well as when planning to be away from work.*

Does not accept responsibility for work	e.g., makes excessive excuses or covers up mistakes.
Does not stick to commitments	e.g., misses important meetings.

Does not maintain physical readiness to work

e.g., comes to work hung over, exhausted, or under the influence of alcohol or illegal drugs.

Fails to be at work during expected hours

e.g., arrives late or leaves early.

Does not alter schedule to accommodate demands

e.g., maintains a rigid adherence to work hours despite the necessity to work longer during certain periods of time.

Fails to be available by alternate means when expected (i.e., when on-call or off-site)

e.g., allows telephone, pager, or email attempts at contact to go answered.

Does not abide by policies regarding time-off from work

e.g., underreports absence, lies about reasons for absence, or takes leave without giving adequate notice to management.

Does not ensure work gets covered when absent

e.g., leaves critical issues unattended while away from work.

Poor developmental focus:

This dimension addresses an employee's lack of concern for personal development or the imbalance between current responsibilities and development.

Does not seek feedback

e.g., shows little concern for performance evaluation.

	Does not accept criticism	e.g., ignores negative feedback and/or becomes defensive.
	Does not show interest in career development	e.g., avoids training and self-development activities.
	Does not challenge oneself with developmental plans	e.g., chooses easily-reached milestones and goals.
	Does not balance career development with accomplishment of current goals	e.g., neglects job duties for elective developmental activities.
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	Excessive negativity:	<i>This dimension addresses an employee's excessively negative attitude that affects others in the workplace or his/her task success.</i>
	Does not display a positive attitude	e.g., allows low morale to negatively influence others.
	Does not tolerate difficult working conditions	e.g., voices persistent complaints.
	Does not promote own abilities	e.g., broadcasts own limitations.
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VULNERABILITY TO HAZARDS:	<i>This content area is concerned with exposure to safety and security risks, which can result in illness, injury, and damage to physical, psychological, or environmental conditions. This area includes deficiencies related to physical and environmental safety, informational security, and stress tolerance.</i>	
	<hr/>	
	Low safety concern;	<i>This dimension addresses an employee's failure to monitor and protect physical workplace and personal safety, which may include building/facilities safety, equipment/materials safety, environmental safety, accident prevention, and illness/injury prevention.</i>
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	Does not attend safety training	e.g., expresses a lack of concern for learning safe work behavior.

	Fails to follow preventative safety measures	e.g., takes short-cuts or violates safety guidelines.
	Does not address or correct dangerous environmental conditions	e.g., exposes self and others to dangerous conditions, as in leaving doors propped open or leaving spills or obstacles in walkways.
Low informational security concern:	<i>This dimension addresses an employee's failure to monitor and protect informational/computer security, which may include threats to the confidentiality, integrity, and availability of computerized information.</i>	
	Does not protect computer system by using confidential passwords	e.g., shares passwords with unauthorized others, posts passwords near computer, or disengages the password function.
	Does not protect computer system by utilizing and maintaining security products and software	e.g., disengages firewall, anti-spyware, or anti-virus protection.
	Does not protect computer system by adhering to guidelines for safe email and program use	e.g., opens attachments from unknown senders or runs programs of unknown origin.
	Does not protect important files or data by creating backup files in other locations	e.g., keeps only one copy of critical information on computer.
	Does not guard against theft of portable or mobile devices	e.g., leaves laptop or PDA unattended in public places.

Poor stress tolerance:	<i>This dimension addresses an employee's dysfunctional passive and active stress reactions, as well as one's low adaptability and resilience to stressful working conditions.</i>	
	Fails to generate effective solutions for stress-inducing situations	e.g., withdraws from work or turns to others for assistance in stressful situations.
	Fails to remain calm in stressful situations	e.g., creates additional stress and panic for self and others through brash actions and emotional displays.
	Does not manage physical anxiety	e.g., becomes excessively careless, clumsy, or engages in disruptive nervous habits.
	Does not adapt to unexpected situations and/or tolerate deviations from routine	e.g., objects to last-minute changes in plans when no other options exist.
	Fails to balance multiple demands	e.g., refuses additional challenges when one problem exists.
	Does not tolerate difficult conditions in the physical environment (e.g., temperature, noise)	e.g., complains or quits working when environmental stressors arise.

**IMPROPER
CONDUCT
REGARDING
RESOURCES &
PROCEDURES:**

This content area is concerned with the misuse of company property, equipment, or procedures, which results in inappropriate, damaging, or unlawful organizational conduct.

Misuse of property/technology:	<i>This dimension addresses an employee's failure to respect, protect, and use organizational property, equipment, and resources as intended by the organization.</i>
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Does not treat office supplies as an expense	e.g., wastes or pilfers office supplies.
Fails to keep track of material resources	e.g., has unexplained losses in money, merchandise, or materials.
Does not respect the physical working environment	e.g., defaces or litters in the working environment.
Does not protect office equipment or materials	e.g., destroys or tampers with equipment or materials.
Does not abide by policies for appropriate Internet usage	e.g., views or downloads from websites containing pornographic or other inappropriate material.
Does not adhere to ethical computer usage	e.g., steals proprietary information, hacks into private computer space, executes viruses, or sabotages computer programs.
Does not use proper etiquette for workplace technology	e.g., disrupts meetings or business interactions with excessive use of cell phones, pagers, laptops, or Blackberries.

Inappropriate business procedures:	<i>This dimension addresses an employee's improper behavior with respect to organizational production/sales or other procedures.</i>
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	Does not charge customers/clients appropriately	e.g., gives away products or services without permission or gives unauthorized discounts.
	Does not abide by policies regarding fringe benefits	e.g., misuses expense accounts, company cars, employee discounts/deals, or other benefits in kind.
	Does not utilize appropriate lines of authority	e.g., engages in processes/procedures without gaining required approval
	Does not maintain the integrity of company documents	e.g., falsifies records, such as receipts for reimbursement.
POOR BUSINESS ACUMEN:	<i>This content area is concerned with a lack of general business sense and knowledge, which results in perceptions of the employee as unprofessional and inexperienced. This area also addresses a closed-minded approach to business and change.</i>	
	Resistance to change:	<i>This dimension addresses an employee's inability to accept, promote, and implement change.</i>
	Does not react well to change	e.g., becomes defensive or resistant in discussions about change.
	Fails to be proactive in seeking out opportunities for change	e.g., ignores/avoids opportunities for change.
	Does not understand the implications of change (with respect to self, processes, finances, customers, etc.)	e.g., neglects the broad impacts of change in discussions or implementations of change.

Low business savvy:	<i>This dimension addresses an employee's failure to portray business, industry, and financial awareness and insight.</i>	
	Does not maintain awareness of local/global events, competitors, and/or industry trends	e.g., utilizes a narrowly-focused view of the business and/or ignores threats and opportunities in the industry/environment.
	Does not leverage relationships/network	e.g., rejects others' attempts at networking/relationship-building.
	Does not maintain awareness of power differences when working with different organizational levels or within a variety of statuses	e.g., makes inappropriate comments that suggest a lack of political sensitivity.
	Does not maintain awareness of general business principles and conduct	e.g., displays a lack of knowledge/experience through his/her ideas or actions.
	Does not balance strategic and tactical thinking	e.g., utilizes only a short-term (or long-term) outlook.
	Does not display awareness of financial results/indicators	e.g., acts with no regard for costs, revenue, or financial risk.
Unprofessional appearance:	<i>This dimension addresses an employee's failure to make a good impression based on the physical presentation of the self to others.</i>	
	Does not maintain personal appearance/hygiene	e.g., makes inappropriate choices regarding hair, facial hair, or scent.

Does not adhere to dress code

e.g., dresses inappropriately for the situation.

DEFICIENT INTERACTIONS

This domain encompasses issues related to negative interactions with other people. These others may be superiors, subordinates, internal or external coworkers, clients/customers, vendors, the general public, or other entities encountered in one's role. The domain addresses poor communication, a lack of teamwork (in formal or informal teams), deficient leadership (in formal or informal positions of leadership), and generally inappropriate interactions with others, ranging from uncivil to unlawful.

POOR COMMUNICATION:

This content area is concerned with ineffective communication, which results in inappropriate, unintelligible, or unclear exchanges. This area involves one's inability to convey intended messages through spoken, written, and nonverbal exchanges. (Other issues related to inappropriate content, withholding communication, or task-specific exchanges are addressed in other areas.)

Ineffective oral communication:

This dimension addresses an employee's poor spoken communication, ranging from informal, one-on-one conversations to formal group presentations and includes poor listening.

Fails to adapt tone/style of speech to the situation or audience

e.g., speaks in an inappropriate or offensive manner or at an inappropriate level for the situation or audience.

Fails to adjust volume of speech based on distance of audience

e.g., speaks too loudly or quietly.

Fails to control speed of speech

e.g., speaks too fast or too slow.

Fails to enunciate

e.g., mumbles.

Fails to use proper grammar or vocabulary

e.g., includes blatant grammatical errors or inappropriate use of slang or jargon.

Does not wait for the other person to finish speaking

e.g., interrupts or finishes the sentences of others.

Does not actively listen

e.g., offers no response or produces an incongruent response.

Does not listen for tone or contextual cues

e.g., overlooks the feelings of others or the context of a verbal exchange.

Does not convey the intended message with speech

e.g., talks around the main point.

Does not logically organize speech

e.g., speaks with a haphazard flow.

Fails to be concise when speaking

e.g., speaks with redundancy or verbosity.

Does not provide appropriate context when speaking

e.g., makes inaccurate assumptions about audience's familiarity with the topic.

Does not choose the appropriate medium for oral communication based on the situation

e.g., chooses inappropriate means for spoken exchanges (e.g., face-to-face, telephone, voice mail, video conference) based on situational needs.

Does not engage one's audience

e.g., speaks in a monotone manner with no vocal inflection or enthusiasm.

Does not display competence when speaking to large groups

e.g., acts nervous or unprepared in formal presentations.

Does not maintain awareness of audience's reaction/reception to presentations

e.g., adheres to a script when adaptation would be more effective.

Does not make effective use of audio/visual aids in presentations

e.g., uses audio/visual aids as a distraction rather than enhancement of communication.

Ineffective written communication:

This dimension addresses an employee's poor composition and choices regarding written material, including letters, emails, memos, reports, and other documentation.

Fails to adapt tone/style of writing to the situation or audience

e.g., writes too formally or informally, or at an inappropriate level, for the situation or audience.

Does not choose the appropriate medium for written communication based on the situation.	e.g., chooses inappropriate means for written exchanges (e.g., emails, text messaging, letters, memos, faxes, reports) based on situational needs.
Fails to use proper grammar, vocabulary, spelling, or punctuation in writing	e.g., writes with errors, typos, or inappropriate slang or jargon.
Does not write legibly when needed	e.g., produces incomprehensible notes which require clarification.
Does not achieve economy in writing	e.g., writes excessive amounts.
Does not provide appropriate context	e.g., includes too little background or supporting material.
Does not logically organize written material	e.g., writes with a haphazard flow.
Does not convey the intended message in writing	e.g., writes around the main point.

Inappropriate nonverbal communication:	<i>This dimension addresses an employee's poor nonverbal behavior, which includes the use of eyes, face, and body to transmit unintended, unfavorable, or uncomfortable messages.</i>
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	Does not maintain appropriate eye contact	e.g., diverts gaze when communicating.
	Does not use appropriate gestures	e.g., gestures to the point of distraction or unnaturally refrains from gesturing.
	Does not maintain awareness of personal space	e.g., sits or speaks at an uncomfortable closeness.
	Does not tailor body language, facial expressions, and posture for the situation	e.g., moves or postures in ways which do not coincide with verbal communication or in ways which create an unfavorable impression.
	Does not attend to others' nonverbal behavior	e.g., misses informative nonverbal cues when interacting with others.
LACK OF TEAM ORIENTATION:	<i>This content area is concerned with a lack of team spirit, which results in detraction from team performance. This area includes deficiencies in the selection and integration of team members as well as issues that interfere with team functioning. It applies to collaboration in general, which may be relevant regardless of whether the employee works in formal or informal teams.</i>	
	Poor team building:	<i>This dimension addresses an employee's shortcomings related to joining or composing a team.</i>
	Does not foster collaboration	e.g., works in isolation when it is more appropriate to work in conjunction with others.

Does not integrate individual roles of others	e.g., mistakes division of labor for true teamwork.
Does not include everyone with a legitimate stake in team goal	e.g., excludes people that should be involved.
Fails to consider the balance of expertise/skill sets needed for the task	e.g., chooses to work with friends or to foster cliques instead of teams.
Fails to create buy-in when composing a team	e.g., volunteers people without their knowledge.
Does not empower the team with needed authority, resources, or information	e.g., deploys unprepared teams.

Counter-productive participation:

This dimension addresses an employee's failure to cooperate with others and his/her detraction from team cohesion and performance.

Fails to contribute as a team member	e.g., relies on others to complete the team task.
Does not utilize others' strengths	e.g., downplays the knowledge, skills, or experience of others.
Does not share responsibility with others	e.g., maintains inappropriate involvement in the tasks assigned to others.
Does not solicit or accept ideas from others	e.g., consistently promotes own ideas as the best options.

Does not help or give advice to others	e.g., puts personal interests/goals ahead of group interests/goals.
Does not defend others when appropriate	e.g., competes with others in unproductive ways.
Does not strive for team consensus	e.g., allows team to be controlled by one dominant member.
Does not give credit where due	e.g., inappropriately claims responsibility for others' work.
Does not accept responsibility for failures/mistakes as a unit	e.g., blames individuals for team errors.
Does not conform to the norms/culture of the group, team, or organization.	e.g., rebels against the norms/culture to the point of disruption.

UNDESIRABLE INTERACTIONS:

This content area is concerned with inappropriate interpersonal behavior, which results in awkward, improper, offensive, or antagonizing interactions with others. It includes deficiencies that reflect disrespect, inflexibility, avoidance, poor choices, and the inability to control impulses/emotions.

Intolerant interactions:

This dimension addresses an employee's lack of empathy, tolerance, and adaptability when working with diverse others and situations.

Does not create an inclusive environment	e.g., treats people differently based on age, gender, race/ethnicity, religion, sexuality, or disability.
Does not display sensitivity towards people's differences	e.g., makes remarks, jokes, or stereotypes about age, gender, race/ethnicity, religion, sexuality, or disability.

Does not appreciate differences in points of view or background e.g., negates different perspectives without considering them.

Does not make efforts to learn about cultural differences that impact work interactions/business etiquette e.g., promotes own culture as the “right way.”

Does not adapt to work with diverse personalities, organizational levels, and situations e.g., relies on one interpersonal style despite the situation and particular people involved.

Emotional interactions: *This dimension addresses an employee’s lack of emotional awareness, control, and one’s undesirable reactions/expressions of emotion.*

Fails to remain aware of own and others’ emotions e.g., ignores cues regarding own or others’ emotional needs.

Does not monitor situational tolerance for emotion e.g., displays inappropriate expressions of positive or negative emotion.

Fails to control mood fluctuations e.g., allows mood to dictate behavior.

Does not display emotional toughness e.g., takes things personally when unwarranted.

Does not admit frustration/anger e.g., resorts to passive-aggressive expressions.

	Does not address interpersonal conflict in a non-threatening manner	e.g., allows temper to predominate and/or threatens or instigates aggressive or violent interactions.
	Does not demonstrate emotional resilience	e.g., withdraws from work or workplace activity for long periods of time after experiencing a negative emotion.
Disrespectful interactions:	<i>This dimension addresses an employee's lack of consideration and engagement in potentially harassing behavior towards others.</i>	
	Does not treat others with congeniality	e.g., utilizes an argumentative style.
	Does not display modesty	e.g., engages in excessive self-promotion or condescends others.
	Does not display patience	e.g., rushes interactions with others.
	Does not respect the space and belongings of others	e.g., invades others' privacy.
	Does not encourage others	e.g., insults or ridicules others and their ideas.

Does not respect others' successes	e.g., tries to spoil the image of others by highlighting negative aspects or minimizing positive aspects of them.
Fails to understand the appropriate time/place for humor	e.g., makes jokes or plays pranks at inappropriate times or places.
Does not display concern for the best interests of others	e.g., deceives or deprives others.
Does not move past others' transgressions or errors	e.g., tries to retaliate against others.
Does not directly address issues of concern that are of unknown truth or that have been passed along by others	e.g., engages in excessive office gossip, rumor-spreading, or fabrication of stories.
Does not adhere to appropriate physical conduct	e.g., uses obscene gestures or inappropriate bodily contact.
Fails to keep sexuality out of the workplace	e.g., engages in verbal or physical conduct of a sexual nature, including having inappropriate relationships.

	Does not demonstrate awareness of appropriate information-sharing	e.g., engages in inappropriate self-disclosure or expressions of opinions.
	Does not adhere to appropriate content for workplace communications	e.g., uses inappropriate language (profanity, offensive slang) or creates/forwards emails with inappropriate content.
Poor organizational representation:	<i>This dimension addresses an employee's undesirable public interaction in situations where he/she is expected to represent and uphold the organizational image.</i>	
	Does not protect the organization when dealing with outsiders	e.g., reveals confidential information to outsiders.
	Does not positively represent the organization's image when in public	e.g., displays inappropriate public conduct when associated with the organization (e.g., on a business trip or while wearing the company logo).
	Fails to abide by rules concerning gifts or contributions	e.g., gives or receives inappropriate gifts or contributions.
	Does not defend the organization when acting as an organizational representative	e.g., publicly questions or criticizes the organization.
	Fails to behave with integrity when acting as an organizational representative	e.g., lies about the organization.

Avoidance of interactions:	<i>This dimension addresses an employee's resistance to interpersonal interactions despite business necessity.</i>	
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Does not engage in friendly workplace interactions when appropriate	e.g., struggles with informal "small talk."
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Does not engage in direct interactions when appropriate	e.g., uses indirect communication (voicemail, email) when direct encounters would be more effective.
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Fails to participate in meetings or group interactions	e.g., limits his/her suggestions or participation when in group settings.
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DEFICIENT LEADERSHIP:	<i>This content area is concerned with a general lack of leadership, which results in low impact and a lack of goal-directed activity in one's work unit. This area involves deficiencies in assertiveness, direction, evaluation, and development of one's unit. Some indicators apply to leadership behavior in general, which may be relevant regardless of whether the employee occupies a formal leadership role, whereas other indicators apply more specifically to managers/supervisors.</i>	
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Lack of assertiveness:	<i>This dimension addresses an employee's failure to assert oneself and his/her passive approach to business and others.</i>	
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Does not take reasonable risks	e.g., views all risks negatively.
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Fails to deliver bad news or unpopular opinions	e.g., tells people what they want to hear when the truth is important.
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Does not facilitate conflict resolution	e.g., passes conflict on to others or chooses unproductive ways of handling conflict, such as holding a grudge or giving others the silent treatment.
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Does not command respect/authority from others

e.g., accepts others' disrespectful behavior.

Fails to hold others (not just subordinates) accountable when appropriate

e.g., accepts too many excuses.

Does not lead by example

e.g., makes excuses for own behavior while holding others to different standards.

Does not inspire others to improve

e.g., reinforces the status quo.

Fails to persuade others when necessary

e.g., presents unenthusiastic or unsupported arguments.

Does not display courage when advocating ideas

e.g., backs down at the first sign of resistance.

Poor employee direction:

This dimension addresses an employee's poor delegation and ineffective approach to motivation and direction.

Does not provide clear instruction/guidance

e.g., deploys unprepared employees.

Does not use encouragement and appreciation to motivate others/drive results	e.g., uses intimidation and coercion to get things done.
Does not create or use a clear/fair system of incentive and discipline	e.g., delivers inappropriate rewards or punishments.
Fails to monitor task feasibility when assigning tasks	e.g., allows challenges to thwart employee progress without providing assistance.
Fails to convey and/or appropriately use performance standards	e.g., holds inconsistent standards.
Does not relinquish power/authority to deserving employees	e.g., micromanages employees' work.
Does not consider the match between employee interests/abilities and the tasks	e.g., makes poor staffing/placement decisions.
Does not articulate unit-level goals	e.g., obscures the greater vision/purpose behind employees' work.
Does not use positional power appropriately	e.g., over-delegates or assigns non-work-related tasks, such as running personal errands.

Deficient employee development:	<i>This dimension addresses an employee's unsupportive behavior regarding employees, including the failure to provide feedback and developmental opportunities.</i>
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Does not foster employee growth/job enrichment

e.g., confines employees to the same task set and/or dissuades employees from trying new tasks.

Does not acknowledge the value of employees' work

e.g., downplays employee contributions.

Does not display concern for employees' work-life balance

e.g., reacts to employees' work-life balance concerns with inflexibility and/or indifference.

Fails to monitor employee/unit progress through goal-setting and by tracking metrics

e.g., shirks accountability for unit.

Fails to adequately conduct performance evaluation and/or coaching

e.g., provides limited and/or infrequent performance evaluation and coaching.

Fails to provide timely and specific constructive feedback

e.g., criticizes employees in a destructive manner.

Does not tailor leadership style to the situation or particular employee

e.g., relies on one inflexible leadership style.

Does not identify training needs, ensure training program development, and/or evaluate the results of training

e.g., downplays the value of or discourages participation in informal or formal training programs.

CHAPTER 5

Study 1 Discussion

The model of substandard performance contributes to the definition and understanding of ineffective job performance across a variety of job types and industries. Its initial development was founded on theory and research that spanned many years and a multitude of approaches, techniques, and populations, while its refinement utilized various sources and methods of input as well. The model defines what an employee does and does not do in failing to meet organizational expectations for success. The model is arranged into four levels of specificity, with domains being the most broad and the indicators being the most specific. In particular, there are 2 broad domains, 11 major content areas, 35 dimensions, and 218 examples of errors of omission along with 218 corresponding errors of commission as indicators. The behavioral indicators are intended to be key examples of the failure to engage in desired actions (errors of omission) as well as engagement in undesirable actions (errors of commission). Ultimately, the goal of the model is to aid the identification, understanding, and improvement of substandard performance.

Development of the substandard performance model included a variety of methods and sources to obtain input on the following considerations: (a) comprehensive coverage of content; (b) minimal overlap between categories; (c) similar level of specificity in categories; (d) indicators that are able to be observed and documented; (e) structural arrangement of domains, content areas, dimensions, and indicators which

enable varying levels of specificity to be referenced; (f) clarity of wording; and (g) potential organizational utility. The final substandard performance model evolved through cycles of refinement and rearrangement based on literature, comparison to an applied model, and input from a variety of managers, graduate students, and academicians.

The model not only represents the first step in defining substandard performance, but also provides a tool to enhance future study of this construct. In particular, this study draws attention to substandard performance, which has been neglected in research and literature up to this point. As found in the study of other negative work behaviors, people do not often report their own or others' deviant behavior, which makes it a difficult topic to study (Bennett & Robinson, 2003). In contrast, this model can be used as a tool to aid the recognition, observation, and documentation of poor performance, thus making it more amenable to study.

The final model, while expectedly similar to the opposite of effective performance models in some ways, appears distinct from previous models of performance in other ways. The model represents the undesirable end of the spectrum regarding the competencies and behaviors addressed in many performance models, as documented via the comparison with the applied model. However, many of the publicly available models found in the literature do not contain a comparable level of specificity and thoroughness. Thus, one of the first distinctions of this model compared to other models in the literature is the amount of detail built into this model, which provides advantages for its utilization.

The amount of detail in this model enables a greater understanding of what substandard performance actually looks like. For instance, using traditional competency

models, it would be expected that one's failure to make good decisions might be one component of substandard performance. However, this model specifies various instances of failing to make good decisions, which are not explicated in other models. Making errors in analysis, failing to consider alternatives, allowing bias to affect the decision-making process, and hesitation when making decisions are some of the model's examples of substandard decision-making.

The avoidance of various behaviors is another unique component of this model. For example, employees may avoid interacting with others or may avoid dealing with stress by turning to their supervisor for help. Specifying the resistance to or rejection of important job behaviors is an important part of identifying substandard performance. Additionally, the model includes acts for which the positive counterpart was not included in other models. As an example, consider the act of physically keeping track of important documents. When considering effective performance, the ability to find important documents is not usually considered to be an exemplary behavior. However, the inability to keep track of important information could be a problem requiring attention. Thus, there are behaviors indicated in this model for which a positive counterpart may not exist in previous models of effective performance.

An additional example of this model's contribution can be seen in the inclusion of behaviors that represent "too much of a good thing." For instance, effective performance models often include creativity or innovation as a desired competency. However, there may be instances when an employee does not moderate the creative process and experiments beyond reasonable boundaries. Therefore, the moderation of creativity or the

utilization of it to a reasonable extent may be an important consideration that has been neglected in previous work.

The inclusion of more contemporary concerns is always an added benefit of new performance models. In this case, the explication of substandard performance issues related to technology, information security, and safety is not found in older models. Advances in technology have created new concerns regarding inappropriate usage, resistance, and damage to technology. Additionally, technology has created more options for time wasting and communication, which affects the way job performance is conceptualized. Further, safety and security issues have become a priority, not just in industries involving physical labor, machinery, or traditionally dangerous environments. Today, most organizations are concerned about physical and informational security as well as the health and safety of their employees. The inclusion of topics such as these suggests the importance of maintaining a dynamic conceptualization of job performance due to the ever-changing nature of work. As such, it may be important to update performance models every few years to ensure adequate coverage of contemporary concerns.

The detailing of unprofessional and deviant behavior is another function that sets this model apart from models of effective performance. Some models of effective performance specify adherence to organizational policies and procedures as a desired behavior. However, this model details the kinds of behaviors that occur when an employee does not adhere to policies and procedures. Further, the negative behaviors included here are somewhat distinct from the set of behaviors addressed in models of counterproductive behavior. As mentioned previously, other models of counterproductive

behavior define the behaviors as intentional. The model of substandard performance makes no restriction as to the intentionality of the behavior. There may be many instances of substandard performance that are not intentional, and thus, deserve representation in the model. Additionally, intentions are subjective and difficult to document and prove. Thus, the behavior, in spite of one's intentions, is the most appropriate focal point when determining substandard performance. Further, care was taken when determining the inclusion and wording of indicators to reference behaviors that are conducive to managerial observation and documentation. Thus, the focus of this model was not to include every possible negative workplace behavior, but to address the kinds of behaviors that may reasonably be documented on a performance appraisal. As such, the model, in contrast to other models of counterproductive behavior, has a more practical focus.

Lastly, the current model contains numerous references to what has, in the past, been termed "extra-role behavior." This extra-role behavior refers to actions outside of task performance. The literature on organizational citizenship behavior and contextual performance contains debates about the appropriateness of including these behaviors in conceptualizations of performance if they were not required components of job performance (i.e., part of the formal job description). However, various studies have shown that supervisors consider these contextual/citizenship behaviors when evaluating performance (e.g., Borman, White, & Dorsey, 1995; Conway, 1999; Motowidlo & Van Scotter, 1994). Thus, it seems that consensus is moving towards the notion that citizenship behavior (or lack thereof) is an appropriate component of job performance.

The feedback collected in the current study supports this notion, in that much of the traditionally contextual behaviors were not objected to as model components. The

only category of contextual behavior that drew resistance was that of low organizational commitment. For instance, managers noted that it is hard to monitor and document when an employee does not support an organization's mission or does not remain committed under adverse conditions. Generally, managers felt that if the employee was performing in other ways, their underlying support for the mission was less relevant. However, managers did see it as problematic if employees were openly expressing pessimism or a negative outlook that affected the team or the general public. Thus, these issues were incorporated into other dimensions rather than representing a low commitment dimension. Further evidence for the blending of contextual and task performance was found in feedback suggesting the combination of the anti-job/work domain with the other two domains. Generally, the contextual issues represented in the anti-job/work domain were found to be reasonably combinable with task and interpersonal issues.

In addition to the model's content, the methodology used to develop and refine the model represents another strength of this study. In particular, a variety of methods and sources were relied upon to provide information and feedback. The use of multiple methods, referred to as triangulation, is based upon the assumption that one method's strengths will counterbalance the weaknesses of another method, thus enabling greater confidence in the results (Jick, 1979). The use of methods that have different biases and strengths leads to corroboration of findings (Miles & Huberman, 1994). In this study, the creation of the initial model content was based on research that had utilized a variety of both qualitative and statistical approaches. Additionally, multiple sources were used to collect input needed to refine the model's content: graduate students, academicians, and two groups of managers. Further, the input was collected using a variety of formats (i.e.,

web surveys, focus groups, email, telephone interviews), each of which had different strengths and weaknesses in terms of depth of feedback, amount of discussion, potential for researcher-participant interaction, and convenience.

As with all research, however, there are some limitations. First of all, the use of multiple methods means that replication is difficult and unlikely (Jick, 1979). More broadly, the development of the model was based on the judgment of the respondents and the researcher. Thus, it is unlikely that a similar effort would produce exactly the same model. While the multiple respondents were used to guard against researcher bias, the researcher undoubtedly had to make judgments in order to revise and rearrange the model. One's experience, expertise, and caution can be used to limit bias, yet there will always be an element of subjectivity in work of this nature. As one of the professorial respondents said "A model such as yours is, at one level, always arbitrary." Unarguably, there are a number of ways to express and arrange the content in this model. The researcher, in determining the final arrangement and wording, was most influenced by the ease of application for potential users of the model.

Another limitation was the length of the model. It may have been difficult to get consistent feedback for all categories of the model due to the length/detail of the model. The presentation was rearranged throughout the study so that participants began with different categories (thus, not always leaving the same categories at the end, which is where less attention is likely paid). However, it is possible that the length of the model was an obstacle for reviewers.

Finally, the general rule for classification is that classes should be exhaustive and mutually exclusive (Bailey, 1994). While attempts were made to include a wide breadth

of content applicable to most jobs and industries, some tailoring of the model is undoubtedly necessary for the model to appear exhaustive for any particular job or organization. However, while tailoring will aid a closer fit between the indicators and the specific job or organization, the broader categories were designed to be exhaustive in the sense that more specific issues can be reasonably classified into the content areas or dimensions. The specificity at the indicator level is also relevant when considering the level of employee. The indicators in the current model were designed to be applicable to individual contributors and managers. For application to high-level executives, the indicators would need tailoring to reflect higher expectations in skills and abilities.

As for the mutual exclusivity, the categories were developed so that with proper contextual information, the categorization of substandard performance issues should be mutually exclusive at some level of the model. However, due to the naturally overlapping nature of performance components, behaviors devoid of the proper contextual information or specificity may be difficult to place at the dimensional level. For instance, if a manager suggests that an employee has poor interpersonal skills, there are a number of substandard performance dimensions that involve poor interpersonal skills. If details about the specific nature of the deficiency were provided, that deficiency would be easier to categorize within a single dimension.

Implications

The model developed in the current study has important implications for theory and practice. Theoretically, this study contributes to our understanding of job performance, a construct that has provided numerous challenges throughout the years. Importantly, the study formalizes the existence of the substandard performance construct,

making it more than just the lack of effective performance and a construct in its own right, deserving further examination regarding antecedents, consequents, and relationships with other constructs. Specifically, the model enables a more well-rounded understanding of job performance and fills the gap that existed due to the traditional focus on effective performance and intentionally counterproductive performance.

Practically, the model is a tool that can be used in various ways in organizations. For instance, the model can be used to aid performance management. Specifically, an organization could tailor the model to fit their needs by selecting the dimensions and indicators of relevance and value. The model can be a template for organizations to use when generating and developing their performance standards and performance management systems.

The model could also be used as a guide for managers so that they can better identify and document examples of performance. One option is to use the model in management training to make managers more aware of what to look for with respect to substandard performance. Another option is to use the model more directly in performance appraisal. For instance, an electronic performance appraisal system could be created that uses this model to guide diagnosis and documentation via a decision-tree format. In such a system managers could browse and select relevant indicators to yield a report that summarizes the dimensions or content areas of concern. Another, more immediate use would be to provide the model as an appraisal dictionary from which managers can select appropriate components for their feedback. Traditionally, managers report broad developmental needs (i.e., the failure to demonstrate a desired competency). However, the inclusion of specific examples of substandard performance may help in

terms of the manager's recognition and recording of substandard performance, thus encouraging greater accountability with respect to the content of the appraisal.

Subsequently, the model may improve the feedback provided to substandard performers.

In particular, the model enables greater specificity of negative feedback due to the provision of examples. Thus, it may be easier for employees to understand which behaviors to change if they are provided with specific examples and greater detail.

Oftentimes, poor performers do not realize their incompetence (Kruger & Dunning, 1999). Thus, it seems that more specific feedback may help poor performers, in particular, recognize how and where they went wrong. Specificity of feedback, particularly with negative feedback, is consistently recognized as an important characteristic (Baron, 1993; London, 1997). The provision of specific feedback is also an important determinant of future performance improvement (Kluger & DeNisi, 1996).

In particular, errors of omission represent absence of behavior, which may have been challenging for managers to document in the past. The specification of these absences may help managers to more thoroughly identify and track their concerns. Additionally, errors of commission represent undesirable actions that may have gone unspecified if traditional competency models were used. In other words, feedback based on a competency model would indicate that a substandard employee did not demonstrate a desired competency. The errors of commission in this model can be used to identify exactly what was done as opposed to just what was not done. Thus, the inclusion of both types of errors may enable managers to provide more thorough and detailed feedback. Showing poor performers how and where they went wrong may increase their

metacognitive skills, which helps them to better understand and recognize incompetent performance, hopefully avoiding it in the future (Kruger & Dunning, 1999).

Relatedly, the model could be used to help employees more accurately evaluate their own performance. Self-ratings are typically inflated compared to supervisor ratings (Harris & Schaubroeck, 1988; Thornton, 1980). Thus, the understanding and clarification of what substandard performance actually looks like may help employees to identify their shortcomings. In this way, employees may develop a more realistic view of their own performance. More accurate self-evaluations, along with fairer (e.g., more specific) supervisor evaluations, may reduce the chance of negative reactions to feedback (O'Leary-Kelly & Newman, 2003). Thus, the accurate identification and documentation of substandard performance, the provision of specific feedback, greater self-awareness, and the possibility of more positive reactions and outcomes to performance feedback may be potential consequences of utilizing this model in organizations.

Future Research

The model of substandard job performance developed in the current study represents initial progress towards understanding and managing poor performance in organizations. Numerous possibilities exist for building upon this model and utilizing this model in future research. For instance, the model could serve as the basis for data collection in which quantitative information is gathered. A factor analysis could be conducted to examine the empirical factor structure and to compare it to the qualitatively-determined structure in the current study.

Another possibility for future research is to examine the issue of intentionality with respect to performance. For instance, a study could be conducted to examine

whether or not raters can separate intentional from unintentional behaviors. As Fisher and Locke (1992) noted, some behaviors have more of an affective component and might be spur-of-the-moment behaviors, whereas other behaviors may be more premeditated as reactions to perceptions of unfairness. It would be interesting to distinguish among the motivations underlying substandard performance.

Similarly, antecedents of substandard performance should be examined. Characteristics of the job (e.g., autonomy, skill variety) could be examined using Hackman and Oldham's (1976) job characteristics model. Individual differences, such as personality (e.g., negative affectivity, integrity) and motivation (e.g., self-efficacy, goal-orientation) would present another interesting avenue for investigation. Perceptions (e.g., of stress, justice, psychological contracts) also likely influence the occurrence of substandard performance. Finally, characteristics of the organization (e.g., climate, leadership) and other contextual factors (e.g., economy, organizational level, industry) may impact substandard performance.

Reactions are an outcome of importance when considering the use of this model in organizations. Managerial and employee reactions to the use of this model in training or to feedback based on this model are critical factors to the success of this model's use in organizations. Future research should focus on the outcomes of this model's application in organizations.

Considering the goal of this research effort to be the identification and understanding of substandard performance, one of the most obvious uses of this model is to collect information on the occurrence and frequencies of substandard performance issues in organizations. Thus, the next study seeks to apply the model to a set of

performance narratives from poor organizational performers to determine which substandard performance issues appear, and with what frequency, in the performance appraisal process of one organization.

CHAPTER 6

Study 2: Literature Review and Study Overview

Review of Performance Appraisal Research

The term *performance appraisal* can refer to a variety of processes that involve the assessment and development of an individual and their performance at work, in terms of existing effectiveness and advancement potential (Fletcher & Perry, 2001). Different organizations may conduct the performance appraisal in different ways, but the term is used here to refer to the judgmental evaluation of work performance that includes, in some form, the documentation of past performance, an indication of whether or not organizational standards were met, and the provision of developmental planning to address insufficient performance.

Much of the early performance appraisal research focused on measurement issues regarding the development/comparison of different scale formats and methodologies (e.g., Bendig, 1953, 1954; Bernardin, 1977; Bernardin & Beatty, 1984; Borman & Dunnette, 1975; Jacobs, Kafry, & Zedeck, 1980; Smith & Kendall, 1963) and rating errors (e.g. Bernardin & Pence, 1980; Saal, Downey, & Lahey, 1980). This research was predominantly concerned with psychometric issues, such as reliability, accuracy, and ways in which rating errors (e.g., leniency, halo) might be reduced. This focus on psychometrics then evolved into consideration of the cognitive processes of raters (e.g., DeNisi & Williams, 1988) due, in part, to Landy and Farr's (1980) seminal argument that different scale formats had little impact on ratings. Additionally, Murphy and Cleveland

(1995) argued that the predominant concern with rating errors was misguided. They suggested, as did Longenecker, Sims, and Gioia (1987), that the so-called errors might be intentional, adaptive responses to concerns in the rating environment, such as motivational strategies and organizational politics.

More recently, performance appraisal research has highlighted the multidimensionality of attitudes and reactions (e.g., Keeping & Levy, 2000; Langan-Fox, Bell, McDonald, & Morizzi, 1996), the social context of performance appraisal (see Levy & Williams, 2004 for a review), and rater individual differences (see the special issue of *Group & Organization Management*, 2005 [vol. 30, no. 1] on rater and contextual attributes in performance appraisal). It should also be noted that some of the research attention surrounding performance appraisal has transitioned to refer to multisource feedback and 360-degree assessments (e.g., Atkins & Wood, 2002; London & Smither, 1995), whereby performance feedback is gathered from sources such as peers, subordinates, self, and customers in addition to supervisors. An additional trend in the literature is the move towards studying *performance management systems* rather than the performance appraisal itself. Performance appraisal is considered to be a foundational component of performance management. However, performance management is typically regarded as a continuous, rather than a discrete or annual, process that involves more coaching from multiple sources, as opposed to the top-down evaluation by one supervisor that characterizes performance appraisal (Latham, Almost, Mann, & Moore, 2005).

Throughout the years, some researchers have focused on the verbal feedback interview that often accompanies performance appraisals (e.g., Cederblom, 1982; Ivancevich, 1982; Roberson, Torkel, Korsgaard, Klein, Diddams, & Cayer, 1993).

Treatment of the appraisal interview has been relatively sparse compared to the research on the numerical or categorical form of appraisal (Kikoski & Litterer, 1983). However, there is a fair amount of literature that provides recommendations for managers charged with conducting performance appraisal interviews (e.g., Fletcher, 1986; Wexley, 1986).

The Written Performance Narrative

While research has expanded from the categorical/numerical rating approach to consideration of the appraisal interview, the written performance narrative continues to be relatively neglected. A literature search using various terms such as “performance narrative” and “narrative feedback” (using PyscInfo, Web of Science, Google Scholar, and Highbeam Research databases) yielded only a handful of studies. Only one study that addressed narrative performance feedback was located among published I/O literature. This study, by Smither and Walker (2004), examined the number and nature of narrative comments in an upward feedback program with respect to changes in performance ratings one year later. Two other studies examined the content of narrative comments and whether or not the comments exhibited characteristics of quality feedback: Rose, Farrell, and Robinson (2004) in a consulting firm’s technical report on 360-degree feedback, and Lye, Biernat, Bragg, and Simpson (2001) in the medical education literature on the evaluations of medical clerks.

Many sources have advocated the use of narrative feedback due to its rich, descriptive nature, which captures recipients’ attention (e.g., Rose et al., 2004). In support of that recommendation, Ferstl and Bruskiwicz (2000) reported results from a survey that found that people paid the most attention to, and rated as most useful, the written comments pertaining to developmental needs (i.e., negative written feedback).

Another study in the medical education literature found that 89% of medical center faculty members who had received upward feedback chose the narrative comments (either alone or in combination with quantitative data) as the most helpful component of the appraisal process (Boiselle, Jennette, & Donohoe, 2004). Finally, Antonioni (1996) reported results of a focus group, which found that feedback recipients regarded the numerical rating as a frame of reference, but wanted the written feedback to help them target actual behaviors requiring improvement.

Overall, recent literature has highlighted the importance that feedback recipients place on narrative feedback and a few researchers have begun to examine the quality of that feedback. Surveys from the past decade found that 34% of organizations surveyed used narratives in their performance appraisal systems (Smith et al., 1996) and that 66% of organizations surveyed reported using verbatim comments in their multisource feedback programs (Timmreck & Bracken, 1995). Thus, it appears that narrative feedback is commonly used in organizations and highly attended to by recipients. As such, it is beneficial to examine the content of narrative feedback in order to understand the kinds of substandard performance issues taking place and being communicated to employees.

Summary

The performance appraisal literature has evolved throughout the years, focusing on issues such as rating scales, rating errors, cognitive processes, reactions to ratings, individual differences, and contextual variables. Throughout the many emphases in the literature, one aspect that has remained the same has been the almost exclusive regard of performance appraisal as a numerical/categorical rating process. However, as recent

surveys have shown, organizations often provide narrative feedback along with quantitative ratings, and feedback recipients are highly attuned to the written comments. Thus, researchers interested in the appraisal process should consider the performance narrative as a common and influential component of performance appraisal. A first step in studying the performance appraisal narrative is to examine the content conveyed in the narrative.

Study 2 Overview

The proposed model of substandard performance developed in Study 1 provides an organizing framework from which to examine the content of the performance appraisal narratives. Thus, Study 2 consisted of the evaluation and application of the substandard performance model. Specifically, performance narratives of substandard performers (at the managerial level) from one organization were examined via content analysis for the occurrence and frequencies of the substandard performance dimensions. The objectives of this second study were to: (a) evaluate the model's potential to categorize the substandard performance issues found in the sample of performance narratives, thus providing additional evidence of the model's content validity; (b) provide a descriptive picture of the types and frequencies of substandard performance issues addressed in performance narratives of one organization; and (c) compare the content of performance narratives in retail and corporate employees. Thus, the performance narratives permitted quantification of the substandard performance issues that have been documented in one organization.

Content analysis of performance narratives may be viewed as a variation of Flanagan's (1954) critical incident technique, which identifies performance categories

based on accounts of actual incumbent behavior. The critical incident approach has been argued to be the most appropriate technique for sampling important, performance-related behavior (Borman & Brush, 1993). The performance narratives contain an archival sample and/or summary of the critical incidents that managers have observed throughout the previous year. The review of existing documents is an unobtrusive method of data collection (i.e., it does not disturb the organizational setting), rich in depicting the values and beliefs of the individuals in question (Marshall & Rossman, 1999). As a result, the content of the performance narratives is a valuable and direct source of information about managerial views of substandard performance issues in their organization.

Content analysis is a method for classifying text in order to reduce it to more relevant, manageable pieces of data (Weber, 1990). Weber explains that the central idea of content analysis is that words, phrases or other units of text can be categorized into content categories based on similarity of meaning. Thus, the text can be reduced to only the categories of interest. In Study 2, the performance narratives were subjected to content analysis, which means that the substandard performance issues found in the narratives were categorized (and thus reduced) into the relevant substandard performance dimensions. In this study, the term *substandard performance issue* is used to refer to a cluster of words in the narrative, referring to a single topic of substandard performance, which (purportedly) maps onto one of the dimensions developed in Study 1.

After the substandard performance issues in the text have been categorized into the dimensions, the analysis focuses on the existence and frequency with which the dimensions appear. Thus, content analysis enables quantitative analysis in terms of dimension appearance (Carley, 1993). Carley also notes that the difference in distribution

of counts across texts can provide insight into the similarities and differences in content. Thus, content analysis is used to examine the occurrence and frequencies of the various dimensions in a set of performance appraisal narratives and to compare the content of a set of performance narratives from employees working in a corporate setting to those of employees working in a retail setting. The counts are assumed to represent the intensity of concern or importance of the dimension (Weber, 1990). Thus, this study provides an initial look into the degree of managerial concern with the various substandard performance dimensions in one organization.

Retail Versus Corporate Performance

A considerable amount of research exists that suggests unique experiences in retail management compared to other types of management (Donnelly & Ivancevich, 1975; Good, Sisler, & Gentry, 1988; Kelly, Gable, & Hise, 1981; Oliver & Brief, 1977-78). Generally, research on retail employees indicates that they may be more prone to feeling overworked and underpaid (e.g., Broadbridge, 2004; Lucas, 1985; Rhoads, Swinyard, Geurts, & Price, 2002). However, much of the literature on retail employees has focused on lower-level employees, such as store clerks, rather than managers (Good et al., 1988; Lucas, 1985). Thus, caution is advised when generalizing from retail employees in general to retail managers. Additional caution was taken when considering the particular retail organization in the current study. The participant organization's particular recruiting and hiring practices, along with the specific structure of the job and organization, could considerably affect the retail managers' perceptions, attitudes, and behaviors.

One study, in particular, provided guidance regarding expected differences in substandard performance issues between corporate and retail management employees. Rhoads et al. (2002) found that retail store managers rated their working conditions and psychological well-being lower than corporate retail executives. Specifically, retail store managers earned less, had less job variety and autonomy, were less satisfied, had lower organizational commitment, and indicated greater turnover intentions compared to the corporate retail group. Another study found actual turnover to be greater in retail stores compared to the same organization's corporate office (Gush, 1996). Rhoads et al. (2002) suggested that the retail store managers may be experiencing "rust out" – a condition noted previously in this paper to be characterized by apathy, boredom, low morale, and a lack of self-worth. Many of these findings have been echoed in other studies of retailers, suggesting the experience of low autonomy (Brennan & McGeevor, 1988), few intellectual challenges (Helliker, 1995), and low loyalty to the organization (Pearson, 1994).

Behavior characteristic of employees experiencing "rust out" has been described as uninterested, unmotivated, and challenged by perceptions of stagnation, isolation, and technological obsolescence (Gmelch, 1983). Thus, it was expected that the performance appraisal narratives of retail managers would evidence a greater frequency of substandard performance issues in the five dimensions within the "Poor work ethic" content area, which addresses complacent, unfocused, irresponsible, negative, and developmentally unconcerned behavior. Additionally, retail environments rely heavily on quantitative performance metrics (Davidson, Sweeney, & Stampfl, 1984). For instance, Davidson et al. describe how retailers must be concerned with profit margins (based on net sales, costs

and expenses, and net profit), asset turnover (based on total assets and net sales), and financial leverage (based on total assets, net worth, and debt). Additionally, retail store operations management utilizes numerical metrics, such as stock levels and dollar inventory control (Davidson et al., 1984). Therefore, it was expected that the retail employees would evidence a greater frequency in the “Unacceptable quantity/productivity” dimension due to the retail environment’s heavy reliance on quantitative metrics. While no further expectations were proposed, an exploratory approach was taken to examine all dimensions for differences between the retail and corporate employees.

CHAPTER 7

Study 2 Methodology

Overview

This study was conducted with the following objectives: 1) to gather additional content validity evidence for the substandard performance model developed in Study 1; 2) to apply the model to a sample of performance narratives in order to provide a descriptive picture of narrative content in one organization; and 3) to compare the narrative content of retail and corporate substandard employees.

Method

Participant Organization

The participating organization is a retailer with over 1900 retail stores, employing more than 325,000 associates worldwide. The corporate headquarters office is located in the southeastern region of the United States and houses approximately 6000 employees.

Every employee in the organization receives an annual performance appraisal conducted by his/her immediate supervisor, consisting of a performance narrative which includes a summary assessment, key strengths, developmental needs, development plans, and potential future positions, along with three categorical ratings. The performance appraisal is one step of a larger performance management process, which includes specification of organizational, unit, and self-set goals. The same performance management process is used for every employee, regardless of position or department.

The data used in this study were extracted from records of the performance appraisals conducted during the spring of 2005.

Gathering Evidence of Content Validity

In order to gather additional evidence regarding the content validity of the model, a sample of narratives was obtained from the participant organization for content coding. Content validity refers to whether the content of the object in question is representative of the intended content. In this case, evidence of content validity is found by the demonstration that any behavior in the performance narratives can be categorized into one of the model's categories. In other words, the sufficiency of the model to capture the range of content in the narratives was examined.

Materials. A stratified sample of 80 performance appraisal narratives was obtained so that there would be equal numbers of retail and corporate employees (thus, a disproportionate sample in terms of the actual population of appraised employees in that organization). Hence, narratives were obtained from 40 corporate and 40 retail employees.

The sample consisted of those performance appraisals deemed substandard by the organization, which meant that the employee had received the lowest categorical ratings, prompting the implementation of a formal performance improvement plan. It should be noted that the substandard employees being examined in this study were exempt employees. As such, store managers and assistant store managers represented the exempt employees in the retail environment. Specifically, the retail sample included job titles such as Store Manager, Assistant Store Manager (ASM), Specialty ASM, Operations Manager, and Store HR Manager. In order to obtain a comparative sample of corporate

employees, managers and employees occupying senior positions in a variety of corporate departments were selected. Job titles, for example, included Lead Business Analyst, Lead Systems Engineer, Logistics Planner, Manager of Information Services, Senior IT Developer, Paralegal, and Accountant. The organizational contact person utilized job evaluation information to ensure that the samples were comprised of comparable retail and corporate positions.

Procedure. The first step in content analysis is to specify the *coding unit* and the *context unit* within the bodies of text (Crano & Brewer, 2002). The coding unit refers to the unit of content that is to be categorized – that is, whether the coder will assign a code to each word, each sentence, or each theme within the text. In this study, the coding unit was the theme, which could vary in length from one word to multiple sentences. Identification of themes was based on distinguishing portions of the text that referred to separate substandard performance issues. Thus, the themes being coded in the narrative texts are referred to hereafter as *substandard performance issues*.

Next, definition of the context unit refers to the delineation of boundaries regarding the amount of text that can be considered as supporting (i.e., contextual) information when making coding decisions. The context unit in the current study was the entire narrative, minus the “Key Strengths” section. Each narrative contained four sections of text: “Summary Assessment,” “Key Strengths,” “Key Developmental Needs,” and “Development Plans.” Reference to substandard performance could be found in any section, with the exception of “Key Strengths,” which was reserved for positive performance information. Therefore, the coder was to consider the “Summary

Assessment,” “Developmental Needs,” and “Development Plans” sections of each narrative as the context unit.

The first step in coding was to read through the three relevant sections of the narrative (i.e., the context unit), underlining each reference to substandard performance. Next, the coder determined which of the underlined sections referred to distinct substandard performance issues, as opposed to being multiple mentions or further elaboration of the same issue. The coder numbered each reference to distinct issues (i.e., themes). Then, the coder used the model of substandard performance to identify the content area to which the issue referred. After the appropriate content area was selected, the coder used the dimension definitions and indicators as the coding rules to guide coding decisions. The coder then determined which of the 35 dimensions best represented the content of each substandard issue.

As an example, consider that the coder identified “He often intimidates associates to drive success” as one distinct substandard performance issue. The coder determined that the issue referred to the “Deficient Leadership” content area. After reading the dimension definitions and indicators within that content area, the coder determined that the issue was closely related to the indicator “Does not use encouragement and appreciation to motivate others/drive results, e.g., uses intimidation and coercion to get things done.” Thus, the issue was coded with the number of the dimension pertaining to “Poor Employee Direction” (# 34).

It was not required that the coder identify a specific indicator that directly matched the substandard issue in the narrative (as in the example above). However, the coder had to determine that the issue matched more closely to the content of the chosen

dimension's indicators than to the content of any other dimension's indicators. As such, the dimension definitions provided additional guidance for issues that did not have an exact link to a specific indicator.

In some cases, an issue was mentioned repeatedly, sometimes using different phrasing or terminology. Thus, the coder was careful to distinguish between repetition of a previously mentioned issue and the introduction of a separate issue. From our example above, if a subsequent sentence read, "He needs to find other ways to motivate associates instead of intimidation," then the coder would consider that issue to be a repeat of the previously coded issue. However, if a subsequent sentence read, "He expects associates to complete tasks that he has not instructed them to do," the coder would consider that issue to be a distinct issue, even though it is coded within the same dimension (# 34: "Poor Employee Direction"). In this way, there could be multiple counts of the same dimension within one narrative, provided that the coder was not counting the same issue more than once.

If an issue was found not to link to any of the 35 dimensions, the coder was to code it as "99." The accumulation of issues coded as "99" suggests a lack of content validity. In other words, use of the "99" code indicates the model's inability to capture all of the substandard performance issues.

Reliability

An important consideration when conducting a content analysis is whether or not the categorization is reliable. In other words, it is important to assess whether or not the coding reflects inconsistency due to idiosyncrasies of the particular coder or circumstance. However, in this study, the decision regarding which code to apply is not

the only decision required – the coder must also make decisions regarding the identification of coding units (the substandard performance issues) within the text. In some cases of content analysis, coders code each sentence of a text, thus using the exact same coding units. In studies where themes are the coding units, the identification of the theme requires additional judgment that may result in a somewhat different set of coding units between two coders.

Krippendorff (1995) explains that traditional intercoder agreement indices, such as Cohen's kappa, only assess coding decisions with respect to common coding units. In other words, because coders in the current study may not have common coding units, the standard indices of intercoder agreement, such as Cohen's kappa, Scott's pi, and Krippendorff's alpha, are not appropriate (K. Krippendorff, personal communication, February 18, 2006).

Therefore, agreement was assessed using Holsti's (1969) coefficient of reliability, which is similar to a simple percentage of agreement except that it accounts for coders evaluating different units (Lombard, Snyder-Duch, & Bracken, 2002). The coefficient of reliability is calculated as: $2m/(n1+n2)$, where m is the number of coding decisions on which the two coders agree, and $n1$ and $n2$ refer to the number of coding decisions made by coders 1 and 2, respectively (Holsti, 1969). Thus, this index accounts for the decisions made not just when coders assessed the same unit, but also when one coder assessed a unit that the other coder did not assess. While it should be noted that this index of intercoder agreement does not take into account agreement due to chance, the other indices that do control for chance agreement require common units of analysis.

Procedure. An advanced graduate student, with prior experience in content coding, was selected for participation as a second coder. The author provided the model of substandard performance for the second coder to review. Next, training was conducted in which instructions were provided (see Appendix J) along with five narratives used for practice coding. The author and the second coder then coded the reliability sample, which was comprised of a subset of 10 narratives (12.5%) from the larger sample. (Lombard et al. [2002] suggest that the reliability sample should consist of no less than 10% of the full sample.) Five corporate and five retail narratives were chosen at random for the reliability sample. The reliability sample was coded and the coefficient of reliability was calculated. The coders then discussed points of disagreement until consensus was reached.

Content Analysis

The next step was to examine the frequencies of the substandard performance dimensions in the coded narratives. Additionally, the percentage of times that each dimension appeared in the texts was calculated.

Comparison of Narrative Content Based on Work Setting

Finally, frequencies were examined separately for the retail and corporate narratives. A t-test was used to compare the average number of substandard performance issues that appeared in each group of texts. Additionally, Fisher's exact probability test was used to determine whether the proportions of dimension appearance in the retail group differed significantly from the proportions of dimension appearance in the corporate group. Further, confidence intervals around the difference between the proportions (Newcombe, 1998) were examined.

CHAPTER 8

Study 2 Results and Discussion

Reliability Evidence: Intercoder Agreement

The coefficient of reliability (Holsti, 1969) between the two coders was found to be .72. While there are no established standards for acceptable levels of reliability, the literature contains various “rules of thumb” proposed by researchers that show a reasonable amount of convergence. After a thorough literature review, Lombard et al. (2002) concluded that, with respect to intercoder agreement, coefficients of .80 or greater are deemed acceptable in most situations, and .70 may be appropriate in some exploratory studies.

A coefficient near the .70 mark was expected in the current study due to the exploratory nature of the study. Additionally, Crano and Brewer (2002) discussed that when utilizing systems in which a large number of categories are used, in which inference is necessary, and in which the unit of analysis depends on the author of the text, the categorization is more likely to be subject to problems of unreliability. In this study, there were 35 codes from which to choose. Also, the coders had to make inferences at times when there was a lack of contextual information. Further, the authors of the text (the employees’ managers) varied the units of analysis from one word to multiple paragraphs depending on their feedback approach, writing style, and amount of detail or examples that were included. Thus, intercoder disagreements had an increased likelihood of occurrence based on the very nature of the study.

The coding scheme (the substandard performance model) was designed with specificity in mind, such that substandard performance issues could be categorized at a fine level of distinction as long as adequate information was provided to make those distinctions. Because narratives, at times, did not provide enough contextual information to enable the clearest distinctions at the dimension level of the model, intercoder agreement was also calculated at the level of the major content areas by collapsing the dimension codes into the broader content areas. Thus, agreement was examined based on whether the two coders agreed on the content area of each substandard performance issue, regardless of the specific dimension. The coefficient of reliability, when content areas were used, was .81. Overall, reasonable agreement was found between the two coders considering the exploratory nature of the study, the inherent challenges due to the nature of the texts and coding scheme, and the ability to reach the traditional standard of acceptable agreement when content areas were used.

The degree of intercoder disagreement typically points to either the distinctiveness of the categories or to the adequacy of the coder training. However, in a debriefing session between the two coders, it was decided that the lack of contextual information provided in the narratives was a considerable source of the disagreement in the current study. Consequently, the coders engaged in discussion of specific examples wherein inferences were made due to a lack of contextual information. Consensus was reached, and the agreed-upon codes were used for the content analysis. Additionally, because the coders had achieved an acceptable level of agreement and had further clarified their shared understanding of the codes, the primary coder coded the remaining narratives.

Of course, further work could serve to enhance the dimensions' distinctiveness through additional refinement based on the particular organization under examination. In other words, tailoring the coding scheme to one organization may result in better alignment between the dimensions and the specific ways in which substandard performance is addressed. Additionally, coder training could be enhanced to more specifically address ways in which inferences are made. While the original coder training lasted 2 hours, an additional session that allowed for even more practice and discussion could be useful.

Content Validity Evidence

The coding procedure provided evidence in support of the model's content validity. In particular, the model's content was deemed to be representative of the range of substandard performance issues presented in the set of organizational performance narratives. All substandard performance issues encountered in the narratives were classified into one of the 35 dimensions. The primary coder did not use the "99" code (for issues deemed not to fit one of the existing dimensions) at any time, in spite of taking a "devil's advocate" role and critically searching for potential gaps in the model. The secondary coder, used for the reliability sample, did code one issue as "99," but realized she had overlooked one of the indicators that addressed the substandard issue in question. Specifically, she initially thought the model did not address an employee's dishonest behavior, but during the consensus discussion realized that the "Disrespectful interactions" dimension addressed deception. Thus, it appears that the model sufficiently captured the range of content in this sample of narratives.

Because a range of positions was examined (e.g., store managers, human resource managers, accountants, analysts, designers, IT developers, etc.), the level of confidence in the model's ability to capture the intended breadth of substandard performance content is increased. Of course, future work should seek to assess the model's ability to capture the substandard performance issues from other organizations that vary with respect to industry, size, culture, and feedback practices.

Content Analysis

The number of substandard performance issues addressed in each narrative ranged from 4 to 27, with a mean of 13 issues per narrative. Table 3 contains the frequencies and corresponding percentages for each of the 35 dimensions for the retail group, corporate group, and total set of narratives. Specifically, the percentages refer to the dimension appearance within each of the three groups (i.e., the first percentage in the "Retail" column indicates that 3.43% of the retail group's issues were categorized as "Inadequate problem analysis").

Table 3
Frequencies and Percentages of Dimension Appearance

	Dimension	Retail	Corporate	Total
1	Inadequate problem analysis	21 (3.43%)	9 (1.97%)	30 (2.80%)
2	Poor judgment	7 (1.14%)	4 (0.87%)	11 (1.03%)
3	Avoidance of problem solving/ decision-making	10 (1.63%)	12 (2.62%)	22 (2.06%)
4	Inadequate preparation *	13 (2.12%)	26 (5.68%)	39 (3.64%)
5	Poor oversight	46 (7.52%)	45 (9.83%)	91 (8.50%)
6	Disorganization	11 (1.80%)	7 (1.53%)	18 (1.68%)
7	Unacceptable quality	57 (9.31%)	31 (6.77%)	88 (8.22%)

8	Unacceptable quantity/productivity *	87 (14.22%)	33 (7.21%)	120 (11.21%)
9	Technical deficiency *	15 (2.45%)	40 (8.73%)	55 (5.14%)
10	Poor task focus	2 (0.33%)	4 (0.87%)	6 (0.56%)
11	Low initiative/service orientation *	49 (8.01%)	61 (13.32%)	110 (10.28%)
12	Low accountability	25 (4.08%)	21 (4.59%)	46 (4.30%)
13	Poor developmental focus *	8 (1.31%)	15 (3.28%)	23 (2.15%)
14	Excessive negativity	2 (0.33%)	4 (0.87%)	6 (0.56%)
15	Low safety concern *	19 (3.10%)	0 (0.00%)	19 (1.78%)
16	Low informational security concern	0 (0.00%)	1 (0.22%)	1 (0.09%)
17	Poor stress tolerance	3 (0.49%)	8 (1.75%)	11 (1.03%)
18	Misuse of property/technology	0 (0.00%)	0 (0.00%)	0 (0.00%)
19	Inappropriate business procedures	1 (0.16%)	1 (0.22%)	2 (0.19%)
20	Resistance to change	3 (0.49%)	7 (1.53%)	10 (0.93%)
21	Low business savvy	30 (4.90%)	15 (3.28%)	45 (4.21%)
22	Unprofessional appearance	0 (0.00%)	0 (0.00%)	0 (0.00%)
23	Ineffective oral communication *	5 (0.82%)	16 (3.49%)	21 (1.96%)
24	Ineffective written communication *	0 (0.00%)	7 (1.53%)	7 (0.65%)
25	Ineffective nonverbal communication	1 (0.16%)	1 (0.22%)	2 (0.19%)
26	Poor teambuilding	15 (2.45%)	16 (3.49%)	31 (2.90%)
27	Counterproductive participation	16 (2.61%)	10 (2.18%)	26 (2.43%)
28	Intolerant interactions	7 (1.14%)	4 (0.87%)	11 (1.03%)
29	Emotional interactions	1 (0.16%)	1 (0.22%)	2 (0.19%)
30	Disrespectful interactions	8 (1.31%)	10 (2.18%)	18 (1.68%)

31 Poor organizational representation	1 (0.16%)	1 (0.22%)	2 (0.19%)
32 Avoidance of interactions	1 (0.16%)	3 (0.66%)	4 (0.37%)
33 Lack of assertiveness	24 (3.92%)	29 (6.33%)	53 (4.95%)
34 Poor employee direction *	44 (7.19%)	12 (2.62%)	56 (5.23%)
35 Deficient employee development *	80 (13.07%)	4 (0.87%)	84 (7.85%)
Total	612	458	1070

Note. * indicates the dimensions for which a significant difference was found between the retail and corporate proportions, as indicated via Fisher's exact probability test ($p < .05$) and examination of confidence intervals around the difference between proportions.

First, the total set of narratives was examined in order to determine which dimensions had the highest and lowest frequencies (see Appendix K for a list of the dimensions in descending order of frequency for the total set of narratives). Overall, the dimension that received the highest count of substandard performance issues (11%) was "Unacceptable quantity/productivity." Also of considerable frequency were the "Low initiative/service orientation" (10%), "Poor oversight" (9%), "Unacceptable quality" (8%), and "Deficient employee development" (8%) dimensions. The dimensions receiving the lowest count of substandard performance issues were "Inappropriate business procedures" (0.2%), "Ineffective nonverbal communication" (0.2%), "Emotional interactions" (0.2%), "Poor organizational representation" (0.2%), and "Low informational security concern" (0.1%). Both "Misuse of property/technology" and "Unprofessional appearance" were unused, meaning that none of the substandard issues were categorized into those two dimensions.

The unused dimensions typically provide information about the appropriateness of dimension inclusion in the model. Specifically, if the dimensions went unused, one

might conclude that those dimensions were not important components of the model. However, in this case, it is argued that the dimensions are a useful component of the model in terms of future application. For instance, if the model was used as a guide for managers when observing and documenting performance, there might be occurrences of property/technology misuse and unprofessional appearance. Further, examination of the substandard performance issues in another organization may reveal instances of feedback related to those dimensions. Thus, the lack of feedback related to those two dimensions in the current study is not necessarily indicative of a lack of relevance. Instead, it is suggested that the lack of dimension use may be a function of: 1) Managers' (intentional or unintentional) neglect in observing or documenting those issues, 2) employees' avoidance of those substandard performance issues, or 3) the irrelevance in that particular organization.

Regarding the "Misuse of property/technology" dimension, it may be that those behaviors are, indeed, rare in occurrence. Alternatively, it may be that employees engaging in those behaviors are not detected. However, input from various managers throughout the development of the model (see Study 1) suggested that computer and other technology misuse was an important area to address. In particular, the Internet and communications technologies, such as cell phones and Blackberries, were highlighted as commonly observed sources of substandard performance issues. Thus, it may be that managers have not been primed to consider those kinds of behaviors in their performance feedback. Another option may be that detection of those issues is addressed verbally and immediately, rather than documented as part of the written performance narrative.

With respect to the “Unprofessional appearance” dimension, issues of this nature may again be rare, neglected in feedback, or addressed immediately instead of within the written narrative. Additionally, this dimension has a more personal nature, thus potentially creating managerial resistance to feedback on this topic. Again, managerial input collected in Study 1 supported the inclusion of this dimension. As such, it may be that managers could benefit from training on how to approach sensitive topics. Overall, it is argued that the two unused dimensions should remain in the model, but that each organization may want to determine whether or not each dimension is relevant to their particular needs, values, and concerns before using the model.

Retail vs. Corporate Comparison

The retail group had an average of 15 issues per narrative and a range from 5 to 27 issues. In contrast, the corporate group had an average of 11 issues per narrative and a range from 4 to 19 issues. A t-test revealed that the retail group’s average number of issues per narrative was significantly higher than the corporate group’s average number of issues, $t(72) = 3.75, p < .001$.

Retail employees’ substandard performance issues were predominant in the “Unacceptable quantity/productivity” (14%), “Deficient employee development” (13%), and “Unacceptable quality” (9%) dimensions. Dimensions receiving little attention in the retail group were “Inappropriate business procedures” (0.2%), “Ineffective nonverbal communication” (0.2%), “Emotional interactions” (0.2%), “Poor organizational representation” (0.2%), and “Avoidance of interactions” (0.2%). No issues were recorded for retail employees in the “Low informational security,” “Misuse of property/technology,” “Unprofessional appearance,” and “Ineffective written

communication” dimensions. Appendix L contains a list of the dimensions in descending order of frequency for the retail subset of narratives.

The corporate group had the highest frequencies in “Low initiative/service orientation” (13%), “Poor oversight” (10%), and “Technical deficiency” (9%). The lowest frequencies occurred in “Low informational security concern” (0.2%), “Inappropriate business procedures” (0.2%), “Ineffective nonverbal communication” (0.2%), “Emotional interactions” (0.2%), and “Poor organizational representation” (0.2%). No issues were recorded for corporate employees in “Low safety concern,” “Misuse of property/technology,” and “Unprofessional appearance.” Appendix M contains a list of the dimensions in descending order of frequency for the corporate subset of narratives.

Both groups experienced frequent use of the “Low initiative/service orientation” and “Poor oversight” dimensions. Both groups also received considerable feedback regarding task output. However, it appears that task feedback in the retail group was more often in the form of comments regarding quality and quantity, while feedback for the corporate group addressed deficiencies in the knowledge, skills, and abilities needed for the tasks more so than the actual quality and quantity of the products or services. With respect to the low frequency dimensions, the two groups evidenced considerable similarities. For some dimensions, such as “Ineffective nonverbal communication,” the lack of use is suspected to be due to the specificity of the dimension and corresponding failure to observe and document performance issues to that level of detail. For other dimensions, such as “Poor organizational representation” and “Inappropriate business

procedures,” the lack of use may be due to the actual rarity of that behavior in this organization.

Next, the differences between dimension appearance in the retail and corporate groups were examined. Specifically, 2-sided Fisher’s exact tests were used to test the difference between the proportions of dimension appearance. Additionally, two-sided, 95% confidence intervals around the difference between proportions were calculated. In Table 3, the dimensions for which statistically significant differences were found between proportions in the retail and corporate groups are marked with an asterisk (*). Appendix N contains a list of the *p*-values and confidence intervals obtained for each dimension. Examination of the confidence intervals around the difference between proportions supported the findings from the Fisher’s tests.

Retail narratives contained a significantly greater frequency of “Unacceptable quantity” issues compared to that found in the corporate narratives, as expected. Specifically, retail emphasis on quantity/productivity issues was double that of the corporate group (14% and 7%, respectively). On the contrary, the expectations regarding the “Poor work ethic” dimensions (i.e., that retail employees would evidence more issues related to work ethic compared to corporate employees) were not fulfilled. There were two dimensions within the “Poor work ethic” content area in which significant differences were observed between the two groups, but they were in the opposite direction than expected. Corporate narratives evidenced a significantly greater percentage of issues in the “Low initiative/service orientation” dimension (13%) compared to the retail group (8%) and in the “Poor developmental focus” dimension as well (3% and 1%, respectively). A Fisher’s exact probability test was conducted on the “Poor work ethic”

content area, which revealed that corporate narratives had a significantly greater percentage of issues in that content area as a whole (23%) compared to the retail narratives (14%; $p < .001$). Thus, the expectation for retail managers to evidence greater work ethic issues was unsupported.

Corporate narratives also contained significantly greater percentages of issues in the “Inadequate preparation,” “Technical deficiency,” “Ineffective oral communication,” and “Ineffective written communication” dimensions. It is not immediately clear why these patterns emerged. Perhaps, corporate employees have a stronger requirement to plan and prioritize projects compared to the retail employees. Alternatively, it is possible that retail employees are sufficient in that domain or that the numbers reflect managerial awareness/emphasis in documenting those issues. As seen with this example, it is difficult to speculate on the nature of the differences without additional information. However, organizational personnel may be able to generate potential explanations based on organizational survey data or anecdotal evidence, for instance.

Retail narratives contained significantly greater percentages of issues in the “Low safety concern,” “Poor employee direction,” and “Deficient employee development” dimensions. The greater focus on safety issues in the retail environment is not surprising, considering the potential for injuries when dealing with tasks such as merchandise loading and the involvement of equipment and public facilities. Interestingly, the biggest difference between dimension appearances in the two groups occurred in the “Deficient employee development” dimension. Corporate narratives had a surprising dearth of issues related to employee development (1%), while retail narratives had a considerable amount of focus on development issues (13%). Perhaps, this difference is attributable to the

reporting structure of the retail and corporate positions in this particular organization, such that retail employees have a more distinct role (and thus, greater demands) in subordinate development. Alternatively, corporate employees may have received more training in subordinate development or may simply be more effective at it. While leadership issues were mentioned in the corporate narratives, the greatest frequency occurred in the "Lack of assertiveness" dimension, which relates more to general leadership qualities than specific tasks of direction and development. Again, possible explanations for these differences are more appropriately generated by organizational leaders that have additional evidence on which to speculate.

Although the two groups of employees work for the same organization, they operate within completely different work environments. As such, it was expected that there would be differences in the culture and climate that affect the nature of employee behavior. Svyantek and Brown (2002) discuss how the organizational structure, culture, climate, and design may impact work behavior. Different cultures and organizational practices support functional and dysfunctional behavior to different degrees. For example, a cultural value system characterized by norms of power and competition might reinforce certain types of substandard performance, such as poor teambuilding and counterproductive participation. On the other hand, norms of affiliation and self-actualization might discourage behavior characterized by a lack of team orientation, resulting in higher occurrences of other types of substandard performance. Future work should examine the nature of substandard performance with respect to the specific values, norms, practices, policies, procedures, and relationships within a work environment. Additionally, person-organization fit and individual differences of employees and

managers would be interesting to examine in terms of the influence on the types of substandard performance demonstrated.

Examination of Higher-Order Categories

The content analysis results were also examined for the higher-order categories (i.e., content areas and domains). Table 4 contains a list of the frequencies based on the 11 content areas for the total set of narratives. The corresponding percentages of issues found in each content area with respect to the entire set of narratives are included.

Table 4
Frequencies by Content Area for All Narratives

Content Area	Frequency
	263
Unacceptable Task Output	(24.58%)
	193
Deficient Leadership	(18.04%)
	191
Poor Work Ethic	(17.85%)
	148
Deficient Planning and Organizing	(13.83%)
	63
Poor Problem Solving/Decision-Making	(5.89%)
	57
Lack of Team Orientation	(5.33%)
	55
Poor Business Acumen	(5.14%)
	37
Undesirable Interactions	(3.46%)
	31
Vulnerability to Hazards	(2.90%)
	30
Poor Communication	(2.80%)
	2
Improper Conduct Regarding Resources/Procedures	(0.19%)

Nearly one quarter (25%) of the substandard performance issues were categorized as “Unacceptable task output.” Other content areas receiving considerable attention were “Deficient leadership” (18%), “Poor work ethic” (18%), and “Deficient planning and

organizing” (14%). Content areas receiving little attention in the total set of narratives were “Vulnerability to hazards” (3%), “Poor communication” (3%), and “Improper conduct regarding resources/procedures” (0.2%).

Table 5 contains the breakdown of frequencies based on the two broad domains.

Table 5
Frequencies by Domain for All Narratives

Domain	Frequency
Deficient Results	753 (70.37%)
Deficient Interactions	317 (29.63%)

Of the total set of narratives, 70% of the substandard performance issues were categorized as “Deficient results,” while 30% were categorized as “Deficient interactions.” This finding indicates that the majority of the feedback was focused on problematic behaviors related to task/goal achievement, while a smaller, yet considerable, portion of the feedback addressed interpersonal issues.

Table 6 contains the frequencies for the retail group by content area. The corresponding percentages of issues found in each content area with respect to the retail set of narratives are included.

Table 6
Frequencies by Content Area for Retail Narratives

Content Area	Frequency
Unacceptable Task Output	159 (25.98%)
Deficient Leadership	148 (24.18%)
Poor Work Ethic	86 (14.05%)
Deficient Planning and Organizing	70 (11.44%)
Poor Problem Solving/Decision-Making	38 (6.21%)

Poor Business Acumen	33 (5.39%)
Lack of Team Orientation	31 (5.07%)
Vulnerability to Hazards	22 (3.59%)
Undesirable Interactions	18 (2.94%)
Poor Communication	6 (0.98%)
Improper Conduct Regarding Resources/Procedures	1 (0.16%)

When frequencies for the retail group were examined by content area, the following content areas received the most emphasis: “Unacceptable task output” (26%), “Deficient leadership” (24%), “Poor work ethic” (14%), and “Deficient planning and organizing” (11%). In contrast, “Poor communication” and “Improper conduct regarding resources and procedures” received the least emphasis (1% and 0.2%, respectively).

Table 7 contains the breakdown of substandard performance issues based on the two broad domains for the retail set of narratives.

Table 7
Frequencies by Domain for Retail Narratives

Domain	Frequency
Deficient Results	409 (66.83%)
Deficient Interactions	203 (33.17%)

Over two-thirds (67%) of the retail employees’ issues were related to the “Deficient results” domain. One-third (33%) of the issues were related to the “Deficient interactions” domain.

Table 8 lists the frequencies by content area for the corporate group. The corresponding percentages of issues found in each content area with respect to the corporate set of narratives are included.

Table 8
Frequencies by Content Area for Corporate Narratives

Content Area	Frequency
	105
Poor Work Ethic	(22.93%)
	104
Unacceptable Task Output	(22.71%)
	78
Deficient Planning and Organizing	(17.03%)
	45
Deficient Leadership	(9.83%)
	26
Lack of Team Orientation	(5.68%)
	25
Poor Problem Solving/Decision-Making	(5.46%)
	24
Poor Communication	(5.24%)
	22
Poor Business Acumen	(4.80%)
	19
Undesirable Interactions	(4.15%)
	9
Vulnerability to Hazards	(1.97%)
	1
Improper Conduct Regarding Resources/Procedures	(0.22%)

Two content areas categorized nearly half of the substandard performance issues: “Poor work ethic” (23%) and “Unacceptable task output” (23%). Additionally, “Deficient planning and organizing” received considerable attention (17%). In contrast, “Vulnerability to hazards” (2%) and “Improper conduct regarding resources/procedures” (0.2%) received the least attention.

As seen in Table 9, three-fourths (75%) of the issues in the corporate group fell within the “Deficient results” domain. One-fourth (25%) of the issues were categorized within the “Deficient interactions” domain.

Table 9
Frequencies by Domain for Corporate Narratives

Domain	Frequency
Deficient Results	344 (75.11%)
Deficient Interactions	114 (24.89%)

Examination of the content area and domain results provides a broader perspective of the nature of substandard performance issues, as indicated via the narratives, in this organization. It appears that the biggest performance concerns for this sample were related to results: task output, work ethic, and the planning/organizing of the work. The retail group emphasized task output and poor leadership, while the corporate group shared the emphasis on task output along with work ethic concerns. All content areas received some attention within the narratives, with “Improper conduct regarding resources/procedures” receiving the least attention. Additionally, the retail group did not document many issues related to communication and the corporate group did not provide much feedback related to organizational hazards.

Summary

Overall, the findings of the content analysis provide insight about the nature of substandard performance feedback in one organization. This information can be examined from varying levels of detail (i.e., more narrowly at the dimension level or more broadly at the content area or domain level). Thus, organizations can use this information to understand the kinds of substandard performance issues that are being

documented with the greatest and least frequencies and to pinpoint particular areas on which additional training or managerial focus is warranted.

This information could be used in a variety of ways. For instance, if an organization was concerned about the amount of performance feedback that was being communicated, it would be beneficial to know that the retail managers were providing significantly more issues per narrative compared to the corporate managers. If the organization was concerned with a particular issue, such as the work ethic of its workforce, it would be helpful to understand that the corporate group received more negative feedback on work ethic issues compared to the retail group. As such, the organization might want to encourage retail managers to more critically evaluate the work ethic of retail employees or they might want to develop new ways to motivate or select corporate employees. If the organization wanted to examine the biggest substandard performance concerns for the retail group, they might note that the retail employees received a lot of feedback related to deficient employee development and therefore, create a training program to focus on that issue. Because the majority of feedback was focused on results, the organization might want to encourage managers to provide more feedback related to interpersonal interactions. Alternatively, based on additional information, they might be able to conclude that their workforce is meeting standards with respect to certain interpersonal issues. As these examples illustrate, the information gained in this study lends itself to hypothesis development for future research, as well as being valuable information that the organization can use to identify and improve their areas of weakness.

The strengths of this study lie in the use of an unobtrusive method for obtaining substandard performance data as well as the manual coding procedure. First, using performance narratives of substandard performers enabled a real-life snapshot of actual performance feedback in an organization. An attempt to collect the information from managers for the specific use in this study may have introduced additional opportunities for bias, inaccuracies, or incomplete information. Second, the manual coding procedure allowed for coders to make inferences when necessary, utilizing the contextual information to obtain greater accuracy compared to computerized methods that rely on simple word searches.

However, there are inherent weaknesses in the methodology as well. First, the findings undoubtedly contain some peculiarities due to the specific nature of the sample. Every organization has a unique culture, different performance standards, multiple ways of approaching feedback, varying emphases on management training, and so on. Therefore, the generalizability of these findings may be limited, pending additional research. Future research should replicate the study in other organizations, seeking to draw conclusions regarding substandard performance based on the nature of the organization. In this way, predictions of substandard performance issues may be possible based on known characteristics of different entities.

Second, as with any performance rating, the performance narratives' accuracy is subject to error. While distortion is typically addressed with respect to leniency (i.e., giving higher ratings than deserved), distortion may work in the other direction as well. Reasons for giving lower ratings than deserved are discussed in Longenecker et al. (1987) and Murphy and Cleveland (1991). For example, managers may use overly negative

performance reviews to punish an employee, send a strong message, or to try to get rid of that employee.

In attempting to assess whether negative distortion was an issue in this particular sample, the sections of "Employee Comments" on the narratives were reviewed. Each narrative contains space for the employee to enter a reaction to the feedback if desired. Only 2 of the 80 narratives contained employee comments. These comments expressed surprise and disagreement with the feedback, which could be somewhat suggestive, but not necessarily an indicator, of negative distortion. However, the relative lack of comments of that nature is suggestive of the employees' general acceptance of the feedback in this sample (i.e., they did not appear to perceive it as unfair).

Another potential limitation is that the degree of mention of a certain topic does not definitively indicate the frequency of occurrence or the amount of managerial concern with that topic. Caution is needed so as to not over-interpret the significance of the substandard performance issue counts. For instance, managers may have restricted the number of issues they included due to perceived constraints on text length. Thus, they may have neglected to address other issues. Additionally, certain topics are easier to address than others, which may affect the ways in which the narratives are written. Follow-up to this research should include a discussion with managers to gauge whether or not they perceive the frequency counts to be an accurate representation of their observations.

Relatedly, the current study focused only on the substandard performance issues that received formal documentation in an annual review. As such, there were likely additional substandard performance issues that occurred, but which were not documented

in the performance narrative. For instance, managers could have failed to notice the substandard behavior, failed to recall it during the writing of the review, or decided to leave it out of the narrative. Managers might have provided informal or verbal feedback on particular areas of concern instead of including those in the narrative. Further, managers might have decided that what might be substandard to one person or one organization was not particularly concerning to them. Therefore, future research should seek to identify the kinds of behaviors that go undetected, forgotten, ignored, or addressed on the spot instead of within the narrative.

Overall, while caution is warranted when drawing conclusions about exactly what the results of the content analysis reveal, the results clearly provide information regarding the nature of the feedback that employees receive. In other words, it cannot be said for certain that the greatest number of substandard performance issues occur with respect to quantity/productivity, but it can be concluded for certain that quantity/productivity issues received the greatest focus in the feedback. Therefore, the frequency counts represent the emphasis that is being communicated to the employees, regardless of what actually occurred.

Implications

This study has considerable implications for organizations and future research. First of all, the coding procedure as well as the content analysis results suggests that performance feedback could benefit from some additional guidance and training. In particular, there were some dimensions of the substandard performance model for which managers in Study 1 emphasized their importance, but then did not receive much use in the content analysis in Study 2. Thus, training might help managers to broaden their focus

so as to attend to a wider range of concerns. Examination of the feedback after managers have been trained to observe these additional issues could provide useful information regarding the underutilized dimensions' appropriateness with respect to model inclusion. In particular, the post-training documentation of substandard performance issues should indicate whether or not those dimensions are indeed relevant for that specific job and organizational context.

Additionally, the way in which feedback is presented could benefit from training using the substandard performance model. For example, some of the narratives were written as streams of thought with little organization. The substandard performance model could aid the preparation and organization of narrative writing so that related issues are grouped together rather than being scattered throughout the text. Additionally, clustering related issues might help the ease in which employees receive and accept the feedback. Ilgen and Davis (2000) discuss how reactions to feedback and subsequent improvement efforts depend on the way in which negative feedback is framed.

Moreover, feedback literature typically recommends the avoidance of giving too much information (e.g., London, 1997). However, narratives in the current study contained 4 to 27 issues per narrative. An employee receiving 27 substandard issues would likely be overwhelmed and unsure of how to proceed in attempting to improve performance. Greater numbers of negative comments have been associated with undesirable reactions such as defensiveness (Kay, Meyer, & French, 1965) and less performance improvement (Smither & Walker, 2004). Thus, if each of the substandard performance issues were clustered under broad headings (e.g., content areas), perhaps the 27 issues would collapse into 5 larger areas of concern, making the feedback easier to

digest, remember, and act upon. As Kluger and DeNisi (1996) discussed, an effective feedback intervention should not threaten one's self esteem.

Further, the substandard performance model could be used to improve verbal feedback, referred to as the Achilles' heel of performance appraisal (Kikoski & Litterer, 1983), as well. Much of the literature on the verbal feedback interview (e.g., McGregor, 1957) has stemmed from managers' resistance, anxiety, and lack of skill in providing face-to-face feedback. Future research could also use content analysis based on the substandard performance model to examine the degree to which the verbal feedback coincides with, or contradicts, the content of the written narrative.

The most direct extension of research following this study is to teach managers to use the substandard performance model to improve their feedback and to examine how the results of the content analysis might change. Another interesting area to explore is to examine how reactions and outcomes of negative performance narratives might differ based on the narrative content. For instance, reactions to negative results-oriented feedback might differ from reactions that occur following negative interaction-oriented feedback. Jones, Tait, and Butler (1983) found that subordinates viewed the documentation of negative behaviors as punishing. Thus, it is important for managers to understand reactions and impressions of fairness, particularly when punishment is involved (Ball, Trevino, & Sims, 1994).

CHAPTER 9

General Discussion

Study 1 detailed the development of a model of substandard job performance, which consisted of iterative cycles of revision and refinement based on literature, managerial survey responses, a SME focus group, comparison to an applied model of performance, performance expert feedback, and managerial interviews. The model details the nature of substandard job performance for exempt employees, intended for individual contributor and managerial roles. In particular, the model describes behaviors that fail to meet organizational expectations for success and is hierarchically arranged into 2 broad dimensions, 11 major content areas, 35 dimensions, and 218 indicators. More specifically, the indicators are comprised of descriptions that represent errors of omission (the failure to engage in desired behaviors) as well as corresponding errors of commission (the engagement in undesirable behaviors). The explication of the two types of errors for each indicator has a variety of benefits for managers: 1) They may be more likely to recognize their subordinates' problematic behavior by considering both the lack of behavior and the demonstration of negative behaviors; 2) they may choose from different terminology/phrasing when giving verbal or written performance feedback; and 3) they may be able to provide better quality feedback through the specification of exactly what it is that the employee did and did not do.

Therefore, the substandard performance model can be used to aid managers' observation, recall, documentation, and utilization of substandard performance examples.

However, not only can the model aid managers' in the preparation and provision of performance feedback, but it can also aid employees themselves by helping them to more clearly understand and recognize their own deficiencies. Ultimately, with more informative feedback and greater self-awareness, reactions to feedback and subsequent performance improvement may be enhanced.

Study 2 used the model of substandard job performance to content analyze a set of performance appraisal narratives from poor organizational performers. Through the process of coding the narratives according to the model dimensions, evidence in support of the model's content validity was gathered. In particular, the substandard performance issues in the performance narratives were classified into the model's 35 dimensions. Additionally, the narrative content analysis provided a descriptive picture of the nature of substandard performance in one organization. The frequencies of performance issues shed light on the most heavily emphasized areas and the underutilized areas within the performance feedback. Further, the narrative content was examined between two subsets of employees: those working in retail environments (e.g., store managers) and those working in corporate environments (e.g., senior IT developers). Results indicated that retail narratives contained a greater number of substandard performance issues per narrative and evidenced a significant difference in the frequency of substandard performance issues on 10 of the 35 dimensions compared to the corporate narratives.

Together, the two studies provide an in-depth look at substandard job performance, an area that has been relatively neglected in I/O literature. Also neglected has been the study of performance appraisal narratives. Therefore, these studies have paved the way for future examination of substandard job performance, highlighting one

area of performance management (the narrative) that deserves greater attention as a source of performance information. In fact, narrative use is common in organizations and is likely to increase in the future (Smith et al., 1996). London (1997) provides advice on how the narrative can be used to meet organizational needs, even advocating for the elimination of the rating component of performance appraisal in favor of the narrative.

The substandard performance model has considerable potential for organizational application, such as in performance management systems, managerial training, and coaching. The findings from the narrative content analysis provide an initial look at the nature of substandard performance feedback, resulting in numerous options for future research. Specifically, the frequency results promote additional study by encouraging hypothesis development and suggesting countless questions regarding the replication of findings in different organizations, types of employees, industries, cultures, and so forth.

Numerous ideas for extensions of this research have been proposed throughout the document. Yet, a couple of additional ideas bear mention with respect to the study of poor performance and poor performers. First of all, a typological approach to poor performers would be interesting. For instance, profiles could be developed based on patterns among the substandard performance dimensions. Johnson, Schneider, and Oswald (1997) conducted an inverse principal components analysis to identify 3 types of managerial profiles. A similar approach would be interesting with substandard performers. London (1997) proposes different types of "marginal performers" based on varying combinations of ability and effort. For example, some employees might have high ability but low effort, while others might have high effort but low ability. With this

type of classification, the causes of poor performance and, thus, potential courses for action may be better understood.

An additional avenue of research is to examine real-time performance data to supplement the understanding of substandard performance. For instance, computer monitoring could provide information about work habits, methods, and content of communications. Event sampling methodology is another option to provide information about what employees are doing at various points throughout the workday (see Bennett & Robinson, 2003, as they discuss this method in reference to deviant behavior).

Conclusion

Overall, there are numerous ways in which the study of substandard performance and substandard performers can be expanded upon due to the foundation provided in the current studies. The model of substandard performance provides an important contribution to the theoretical study of job performance. Specifically, the model fills a gap that previously existed between the study of effective and deviant work behavior. Additionally, the model provides a level of detail that is unmatched in most other models of job performance found in the literature.

Use of the model to examine performance narratives served to validate the model in one organization and provided an interesting look into the nature of substandard performance within that organization. Moreover, examination of the narratives throughout the content analysis procedures further supported the recommendation for one of the model's uses: that is, to aid feedback provision to substandard performers. Clearly, the model could be used to improve the breadth, depth, and structure of performance feedback. Feedback, particularly when it is negative in nature, has numerous

ramifications for organizations and their constituents. For instance, the quality of the feedback can impact workplace relationships, employee perceptions and attitudes, talent development, and bottom-line performance. Additionally, the fair and accurate documentation of poor performance is increasingly important, especially when one considers the possibility of wrongful termination lawsuits and workplace violence following termination (Karl & Sutton, 1998).

While great potential exists for the theoretical and practical applications of this work, additional research should focus on replicating and refining these results. Continued attention to substandard job performance will increase the recognition that in order to achieve the fundamental goal of I/O psychology (i.e., understanding, predicting, and managing success at work), we need to understand, predict, and manage the *lack of* success at work as well. Towards that aim, this research provides a framework that can be used to further examine substandard performance and to argue against the assumption that substandard performance is simply the lack of effective performance. Additionally, using the model to examine negative performance feedback provided insight as to how substandard performance was operationalized in one organization. This information can be used, in conjunction with the model, to evaluate the organization's conceptualization of substandard performance and to adapt it to the organization's specific goals and concerns. Hence, organizations should aim to define substandard performance for their particular organizational context and more directly measure those behaviors that detract from organizational success.

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APPENDIX A: Performance Models

One of the most commonly referenced models of job performance is Campbell's (1990) model, further discussed in Campbell et al. (1993). He proposed eight dimensions based on behavioral content that would describe job performance at the most general level. Campbell intended that the eight dimensions, or some subset of them, would be applicable to any job, but that a single job might not incorporate all eight components and that the content of each component might vary differentially across all jobs (Campbell et al., 1993). Campbell's dimensions are listed below.

Campbell's Job Performance Factors	Description
Job-specific task proficiency	The core substantive or technical tasks central to the job; the behaviors which distinguish one job from another.
Non-job-specific task proficiency	The common tasks for which everyone in, perhaps, every organization is required to perform; not specific to job.
Written & oral communication task proficiency	The tasks which require writing and speaking, independent of the correctness of the subject matter.
Demonstrating effort	The degree to which one will commit themselves to their job tasks day by day, the frequency with which one will expend extra effort when required, and the willingness to keep working under adverse conditions.
Maintaining personal discipline	The degree to which negative behaviors, such as alcohol and substance abuse at work, law or rule infractions, and excessive absenteeism are avoided.
Facilitating peer and team performance	The degree to which the individual supports peers, helps them with job problems, and acts as a de facto trainer; how well one facilitates group functioning by being a good model, keeping the group goal-directed, and reinforcing participation by other members.
Supervision/leadership	Influencing the performance of subordinates through face-to-face interpersonal interaction and influence; includes activities such as setting goals, teaching more effective methods,

	modeling appropriate behavior, and rewarding/punishing in appropriate ways.
Management/administration	The elements of management which are distinct from supervision; includes behaviors directed at articulating unit goals, organizing people/resources, monitoring progress, helping to solve problems or overcome crises, controlling expenditures, obtaining additional resources, and representing the unit when dealing with other units.

Another model of job performance was proposed by Murphy (1989), who defined the performance domain as the “set of behaviors that are relevant to the goals of the organization or the organizational unit in which a person works” (p.227). Murphy proposed that one’s *overall job effectiveness* is a complex function of the categories listed below.

Murphy’s (1989) Job Performance Dimensions	Description
Task behaviors	Consists of 3 components: 1) Job proficiency: refers to what the incumbent is able to do if there were no competing demands and maximum motivation; 2) Job-related skills and knowledge: factual and procedural (task-specific) knowledge and (general) skills ranging from psychomotor to analytic skills needed for job proficiency; 3) Individual and team task performance: the actual accomplishment of specific tasks, a function of the previous two components.
Destructive/hazardous behaviors	Behaviors that lead to a clear risk of productivity losses, damage, or other setbacks, including safety and security violations, accidents, and willful destruction or tampering with equipment, materials, or job information.
Down-time behaviors	Work-avoidance behaviors that result in the incumbent being absent from the work site, or which result in seriously impaired levels of performance; includes absenteeism, alcohol and drug abuse, behaviors leading to disciplinary action.
Interpersonal relations	Effective communication and effectiveness in dealing with others.

Murphy’s work was conducted to define job performance for the enlisted jobs in the Navy. He noted that different dimensions might emerge if the set of jobs under

consideration was different. However, he proposed that task accomplishment, down-time behaviors, and interpersonal relations are essentially universal dimensions of job performance. Murphy notes that the destructive/hazardous and down-time behaviors serve to limit performance if present. He emphasizes, however, that the absence of these behaviors does not guarantee good performance. Murphy was one of few researchers to include negative behaviors in his general performance dimensions.

Viswesvaran (1993; Viswesvaran, Ones, & Schmidt, 1996) developed 10 dimensions of job performance based on the conceptual grouping of similar measures of job performance found in the literature. Viswesvaran's dimensions are listed below.

Viswesvaran's (1993) Performance Dimensions	Description
Overall job performance	Overall performance, effectiveness, work reputation, or the sum of all other dimensions.
Productivity	Quantity of volume of work produced
Quality	How well the job was done; lack of errors; accuracy; thoroughness; amount of wastage.
Leadership	Ability to inspire, motivate, and bring out extra performance in others; professional stature.
Communication competence	Gathering and transmitting information in oral and written form; proficiency to express oneself and make oneself understood.
Administrative competence	Handling the coordination of different roles; organizing and scheduling work periods; administrative maintenance of records; ability to place/assign subordinates; knowledge of the duties and responsibilities of others.
Effort	Amount of work expended; initiative; attention to duty; alertness; resourcefulness; enthusiasm; industriousness; persistence; dedication; personal involvement.
Interpersonal competence	Ability to work well with others; cooperation; customer relations; acceptance by others.
Job knowledge	Having the knowledge required to get the job done; keeping up-to-date.
Compliance with/acceptance of authority	Obeying rules; conforming to regulations; having a positive attitude toward supervision; conforming to organizational norms and culture; lack of complaining about policies and following instructions.

Borman and Brush (1993) proposed a taxonomy of managerial performance based on the sorting of dimensions gathered from prior empirical work, most of which involved critical incidents. A factor analysis revealed 18 dimensions, which Borman and Brush argued to be representative of the previous efforts found in the literature, thus referred to as “mega-dimensions.” These dimensions are listed below.

Borman and Brush’s (1993) Managerial Performance Mega-Dimensions	Description
1. Planning and organizing	Formulating short- and long-term goals and objectives; forecasting problems and developing problem-solving strategies; organizing/prioritizing work; time management.
2. Guiding, directing, and motivating subordinates and providing feedback	Providing guidance/direction to subordinates; motivating through recognition, encouragement, constructive criticism, and feedback; helping set goals and maintain performance standards; monitoring subordinate performance.
3. Training, coaching, and developing subordinates	Identifying training needs and developing responsive programs and materials or ensuring its development; training/teaching/coaching subordinates; assisting with job skill improvement.
4. Communicating effectively and keeping others informed	Communicating orally and in written form; obtaining and passing on information as appropriate to keep others informed.
5. Representing the organization to customers and the public	Representing the organization and maintaining a good organizational image to outsiders; dealing with customer/client problems.
6. Technical proficiency	Keeping up-to-date; solving technical problems; possessing sufficient technical job knowledge; providing technical advice.
7. Administration and paperwork	Handling paperwork; performing daily administrative tasks; keeping accurate records; administering policies.
8. Maintaining good working relationships	Developing and maintaining smooth and effective working relationships; displaying personal concern for and supporting subordinates; encouraging and fostering cooperation between subordinates.
9. Coordinating subordinates and other resources to get the job done	Properly utilizing personnel and other resources to increase effectiveness; coordinating work; balancing interests of own unit and those of whole organization.
10. Decision	Making sound and timely decisions; paying attention to and

making/problem solving	taking into account all relevant information; developing effective solutions to organizational problems.
11. Staffing	Maintaining staff and workforce; recruiting, interviewing, selecting, hiring, transferring, and promoting persons in the organization; maintaining an effective career development system.
12. Persisting to reach goals	Persisting with extra effort to attain objectives; overcoming obstacles to get the job done.
13. Handling crises and stress	Recognizing and responding effectively to unexpected situations; handling crises and stress calmly; responding well to tight deadlines; addressing conflict appropriately.
14. Organizational commitment	Working effectively within the framework of organizational policies, procedures, rules; carrying out orders/directives; supporting reasonable policies of higher authorities.
15. Monitoring and controlling resources	Controlling costs and personnel resources; monitoring and overseeing utilization of funds.
16. Delegating	Assigning subordinate duties and responsibilities in line with their interests and abilities as well as the needs of the organization; delegating authority and responsibility to aid subordinate growth.
17. Selling/influencing	Persuading others to accept own ideas; presenting positions clearly and decisively; arguing effectively for position.
18. Collecting and interpreting data	Knowing what data are relevant to address a problem/issue; properly interpreting numerical data and other information; facilitating correct inferences; effectively organizing data to help solve problems/make decisions.

Borman and Brush (1993) also noted that the dimensions could be grouped into four higher-order factors as follows: Interpersonal dealings and communication (mega-dimensions 4, 5, 8, 17); leadership and supervision (mega-dimensions 2, 8, 9); technical activities and the mechanics of management (mega-dimensions 1, 6, 7, 10, 11, 15, 16, 18); and useful personal behavior and skills (mega-dimensions 12, 13, 14).

Conway (2000) emphasized the importance of looking not just at what managers do, but also at how they develop. He used factor analysis to identify five managerial performance development constructs, listed below. Conway compared his five constructs with Borman and Brush's (1993) managerial performance dimensions and argued that

Borman and Brush's dimensions reflect the day-to-day performance domain, while Conway's dimensions apply more to the development of managerial performance. In particular, Conway observed that the *Teamwork and personal adjustment* factor evidenced the smallest amount of overlap (especially the personal adjustment component), suggesting that the content of this factor is relatively specific to the developmental focus.

Conway's (2000) Managerial Performance Development Dimensions	Description
Interpersonal effectiveness	Showing good social skill (e.g., tact, compassion, flexibility), making others feel comfortable, and influencing others.
Willingness to handle difficult situations	Showing courage and perseverance, and having the confidence and willingness to make decisions, confront problem employees, take charge, and do whatever else is necessary in challenging situations.
Teamwork and Personal Adjustment	Having an orientation toward working through the team, and being well-adjusted (e.g., not obsessed with work; honest and not cynical or moody).
Adaptability	Showing the ability to learn quickly and apply learning to think strategically, work with executives, make good decisions, and solve problems.
Leadership and Development	Hiring competent people and effectively providing them with the opportunity and motivation to develop skills (e.g., delegating, giving decision-making responsibility to subordinates).

Tett et al. (2000) proposed a more recent taxonomy of managerial performance. The objective of Tett et al.'s research was to achieve greater specificity/articulation of the managerial performance domain due to the generality of previous managerial performance taxonomies. Thus, they proposed a "hyperdimensional" taxonomy consisting of 53 competencies organized into 9 broad headings, as seen below.

Tett et al.'s (2000) Managerial Performance Dimensions	Competencies
Traditional functions	Problem awareness; decision making; directing; decision delegation; short-term planning; strategic planning; coordinating; goal setting; monitoring; motivating by authority; team building; productivity.
Task orientation	Initiative; task focus; urgency; decisiveness.
Person orientation	Compassion; cooperation; sociability; politeness; political astuteness; assertiveness; seeking input; customer focus.
Dependability	Orderliness; rule orientation; personal responsibility; trustworthiness; timeliness; professionalism; loyalty.
Open-mindedness	Tolerance; adaptability; creative thinking; cultural appreciation.
Emotional control	Resilience; stress management.
Communication	Listening skills; oral communication; public presentation; written communication.
Developing self and others	Developmental goal setting; performance assessment; developmental feedback; job enrichment; self-development.
Occupational acumen and concerns	Technical proficiency; organizational awareness; quantity concern; quality concern; financial concern; safety concern.

Hunt (1996) proposed nine dimensions of generic work behaviors based on factor analyses of supervisor ratings from hourly, entry-level employees in the service (mostly retail) industry. His dimensions are listed below.

Hunt's (1996) Generic Work Behaviors	Description
Adherence to confrontational rules	Willingness to follow rules that might result in a confrontation between the employee and a customer; may be particularly applicable to cash register workers.
Industriousness	Constant effort and focus towards work.
Thoroughness	Quality of work; going above and beyond minimum job requirements.
Schedule flexibility	Willingness to change schedules to accommodate work demands; work overtime.
Attendance	Associated with absenteeism and punctuality; adhering to schedule; arriving on time; not taking extended breaks.
Off-task behavior	Effort expended towards non job-related tasks while at work; task-irrelevant behavior; includes withholding effort.
Unruliness	Minor deviant tendencies as well as abrasive and inflammatory attitudes towards work and others.

Theft	Taking money or merchandise from the organization; helping friends to steal.
Drug misuse	Inappropriate use of drugs and alcohol.

Hunt proposed a hierarchical model of generic work behavior. Drug misuse, theft, and unruliness were components of a higher-order factor called employee deviance. Employee deviance, along with off-task behavior and attendance made up minimum performance behaviors. A comparable higher-order dimension was proposed on the positive side of work behavior, called organizational citizenship behavior, which was composed of work ethic (industriousness and thoroughness) and schedule flexibility. Additionally, he also proposed four additional dimensions that may be important, but which were not revealed from his analyses: teamwork, problem-solving, safety, and personal appearance.

Hedge, Borman, Bruskiewicz, and Bourne (2004) created eight performance dimensions for supervisory positions in the U.S. Navy using a personal construct and sorting approach. The eight dimensions were posited to share some commonality with other supervisory performance dimensions, but also to bear some uniqueness in category configuration via the reflection of the Navy officers' points of view. The dimensions are seen below.

Hedge et al.'s (2004) Supervisory Performance Dimensions	Description
Coaching/mentoring	Providing guidance to subordinates; assessing strengths/weaknesses and providing feedback; providing developmental plans and strategic vision; creating a motivating work environment where subordinates feel valued.
Resource stewardship	Managing resources efficiently and effectively; ensuring deadlines are met through planning and communication; developing innovative plans to complete projects on time and

	within budget; prioritizing and delegating appropriately; sorting through information efficiently.
Displaying professionalism and integrity	Accepting responsibility for actions; maintaining ethical principles; displaying uncompromising values; maintaining appearance and health; supporting missions and goals.
Communication skills	Practicing meaningful two-way communication; providing timely and relevant information; tailoring presentations to audience; expressing opinions appropriately; evaluating the importance of information being communicated.
Leading change	Being open to new ideas/methods; adjust to rapidly changing environment; modifying goals as needed; embracing change and looking for better methods; remaining calm and focused in stressful situations; adapting as needed.
Leading people	Building and leading team activities; persuading, inspiring, and motivating; creating enthusiasm and purpose; demonstrating positive attitude and team spirit; adopting different leadership styles as appropriate.
Displaying organizational savvy	Having a thorough understanding of military regulations and initiatives; following policies/regulations and defending them to subordinates; accepting/respecting decisions of superiors; displaying appropriate courtesies to others; understanding how policies fit into overall mission scheme.
Embracing personal and professional development	Continuously improving professional skills, knowledge, and abilities through formal and informal training, education; ability to find personal benefit and growth in work; balancing self-development with job completion; maintaining superior technical skills.

Campbell, Dunnette, Arvey, and Hellervik (1973) identified nine performance dimensions for retail store managers and assistant store managers based on a critical incidents exercise. These dimensions are listed below.

Campbell et al.'s (1973) Retail Management Performance Factors	Description
Supervising sales personnel	Provides clear direction; shows consideration and tact; handles scheduling equitably; maintains familiarity with behaviors of sales force; supplements formal training with own coaching.
Handling customer complaints and making adjustments	Informs customers accurately and tactfully of company policy; smoothes things over with complaining customers; sets good examples for sales personnel.
Meeting day-to-day	Meets deadlines; orders merchandise on time; gets schedules

deadlines	planned on time; plans special promotions appropriately.
Merchandise ordering	Maintains appropriate mix of merchandise; develops procedures for tracking merchandise flow; modifies order according to trends, flow, and stock position.
Developing and planning special promotions	Plans with sufficient time and detail; develops new ideas and approaches for displays and layouts; plans promotions to sell "old" merchandise.
Assessing sales trends and acting to maintain merchandising position	Reevaluates sales trends and takes them into account in maintaining an up-to-date merchandising position; takes quick action to gather information in response to customer requests; shops competitor stores to gather information about trends and preferences.
Using company systems and following through on administrative operations	Makes effective use of company systems and procedures; handles paperwork quickly and accurately; knows company, store, and department goals; follows through on invoices and shipments to ensure accuracy and completion.
Communicating relevant information to associates and higher management	Keeps management informed and provides necessary information for planning purposes; keeps personnel informed of store activities and performance; consults with personnel about department operations.
Diagnosing and alleviating special department problems	Quickly recognizes instances of problems; goes beyond the call of duty when sizing up how a department is doing; develops innovative solutions that go beyond prescribed/standardized procedures.

Pulakos, Arad, Donovan, and Plamondon (2000) created a taxonomy of adaptive performance to complement Campbell et al.'s (1993) taxonomy of job performance. Their efforts were based on observations of dynamic work environments as well as the perception, often echoed in the literature, that current conceptualizations of job performance lacked consideration of one's ability to adapt to constantly changing organizational conditions. Based on literature review and content analysis of critical incidents, they proposed eight dimensions of adaptive performance, as seen below.

Pulakos et al.'s (2000) Adaptive Performance Dimensions	Description
Handling emergencies/crisis situations	Reacts appropriately and decisively; maintains emotional control and objectivity while staying focused.
Handling work stress	Remains calm under pressure; manages frustration through constructive solutions rather than blame; demonstrates resilience and professionalism; acts as a calming influence
Solving problems creatively	Solves atypical, ill-defined, and complex problems; generates innovative approaches and unique analyses; thinks outside the typical parameters.
Dealing with uncertain and unpredictable work situations	Adjusts to deal with unpredictable or unexpected situations; imposes structure to maintain focus; takes appropriate action despite ambiguity and uncertainty.
Learning work tasks, technologies, and procedures	Keeps knowledge and skills current; learns new methods; adjusts to new processes; anticipates changes in demands; seeks out experiences to aid self-development.
Demonstrating interpersonal adaptability	Is flexible and open-minded when dealing with others; accepts developmental feedback; develops effective relationships with diverse personalities; demonstrates insight of others' behavior; tailors own behavior when appropriate.
Demonstrating cultural adaptability	Learns about and understands other groups; integrates well and is comfortable with others having different values and customs; shows respect; adjusts behavior accordingly.
Demonstrating physically oriented adaptability	Adjusts to unfavorable states with respect to temperature, noise, comfort, and difficulty; adjusts to meet the physical requirements of job tasks.

Organizational citizenship behaviors (OCBs) were proposed as being an important part of work behavior beyond task performance. Organ (1988) coined the term to refer to discretionary behavior that is not directly recognized by the formal reward system, but that, in the aggregate, promotes effective organizational functioning. Later, Organ (1997) refined his definition by dropping the requirement that the behavior be extra-role and not rewarded. Thus, the term is now used to refer to behavior that is discretionary and which contributes to organizational effectiveness. Various researchers using different terminology explored similar notions. For instance, George and Brief

(1992) discussed *organizational spontaneity* as the voluntarily performed extra-role behaviors that contribute to organizational effectiveness. Additionally, Brief and Motowidlo (1986) described *prosocial organizational behavior*, which referred to behavior performed with the intention of promoting the welfare of individuals or groups to whom the behavior has been directed. This definition is unique in that while prosocial behavior might be positive towards individuals, it could be negative for the organization. Podsakoff, MacKenzie, Paine, and Bachrach (2000) examined the various citizenship behavior constructs in the literature, finding almost 30 potentially different forms. Thus, they created seven dimensions based on their conceptual comparison in order to organize and summarize the various efforts in this domain.

Podsakoff et al.'s(1990) Citizenship Behavior Dimensions	Description
Helping behavior	Voluntarily helping others with or preventing the occurrence of work-related problems.
Sportsmanship	Tolerating inconveniences and impositions without complaining; maintaining a positive attitude; not getting offended when one's ideas are rejected; willingness to sacrifice personal interests for the sake of the group.
Organizational loyalty	Promoting the organization to outsiders; protecting and defending it against external threats; remaining committed to the organization under adverse condition.
Organizational compliance	Internalization and acceptance of the organization's rules, regulations, and procedures which results in a scrupulous adherence to them, even when no one is monitoring.
Individual initiative	Engaging in task-related behaviors at a level so far beyond what is minimally required/generally expected that it appears voluntary; includes offering creative ideas, persisting with extra effort/enthusiasm, volunteering for extra responsibilities, and encouraging others to do the same; going above and beyond the call of duty.
Civic virtue	Commitment to the organization as a whole; willingness to participate actively in governance, monitor the environment for threats and opportunities, and look out for the organization's best interests even when it comes at a personal cost; the

	recognition of being part of a larger whole.
Self-development	Voluntary behaviors to improve knowledge, skills, and abilities; includes seeking out training, learning new skills, and keeping abreast of latest developments.

Borman and Motowidlo (1993) proposed that the various ideas examined under *organizational citizenship behavior* and *prosocial behavior* were examples of what they referred to as *contextual performance*. They argued that organizational behavior could be divided into two broad categories: task and contextual performance, as seen below. They noted that task activities are what distinguish one job from another while contextual activities are common to many or all jobs. Further, they believed that task activities were role-prescribed while contextual activities were less likely to be role-prescribed because they were based more on initiative.

Borman & Motowidlo's (1993) Performance Domains	Description
Task performance	Activities that contribute to the technical core either directly by implementing a part of its technological process or indirectly by providing it with needed materials or services.
Contextual performance	Activities that support the organizational, social, and psychological environment in which the technical core must function.

Motowidlo, Borman, and Schmit (1997) elaborate on a theory of job performance where they note a distinction in two types of task performance. One type of task performance refers to the execution of technical processes (i.e., the transformation of raw materials into goods and services, such as selling, operating a machine, teaching, performing surgery) while the other type refers to the maintenance and service of its technical requirements (i.e., replenishing supply of raw materials, distributing finished

products, or providing planning, coordinating, supervising, or staff functions that enable it to function). They also note that Borman and Motowidlo's (1993) initial classification of motivational elements into contextual performance may have been inappropriate. They suggest that it might be more appropriate to think of persistence and volunteering in terms of task performance as well as in terms of facilitating group processes, supporting organizational objectives, and compliance with rules.

Negative work behaviors have been studied under various labels as well. Sackett and DeVore (2001) defined counterproductive work behavior as intentional behavior on the part of an organization member viewed by the organization as contrary to its legitimate interests. Gruys (1999) sorted and factor analyzed various counterproductive behaviors found in the literature, resulting in 11 categories of counterproductive behaviors, as seen below. Gruys divided the categories based on two underlying dimensions: whether the behaviors harmed the organization or other individuals, and whether the behaviors detracted from job performance or were not directly related to job performance.

Gruys' (1999) Counterproductive Behaviors	Examples
Theft	Includes theft of cash or property; giving away of goods/services; misuse of employee discount.
Destruction of property	Deface, damage, or destroy property; sabotage production.
Misuse of information	Reveal confidential information; falsify records.
Misuse of time and resources	Waste time; alter time card; conduct personal business during work.
Unsafe behavior	Fail to follow safety procedures; failure to learn safety procedures.
Poor attendance	Unexcused absence or tardiness, misuse sick leave.
Poor quality work	Intentionally slow or sloppy work.
Alcohol use	Coming to work under the influence; alcohol use on the job.
Drug use	Possess, use, or sell drugs at work.

Inappropriate verbal actions	Argue with customer; verbally harass coworkers.
Inappropriate physical actions	Physically attack coworkers; physical sexual advances toward coworkers.

Robinson and Bennett (1995) defined *deviant behavior* as voluntary behavior that violates significant organizational norms, thereby threatening the well being of an organization, its members, or both. Their typology contained four categories of deviant behavior: 1) property deviance (serious deviance directed toward the organization), 2) production deviance (minor deviance directed at the organization), 3) personal aggression (serious deviance directed at other individuals), and 4) political deviance (minor deviance directed at other individuals).

Another negative work behavior involves not putting forth the expected or required amount of effort or involvement in work processes. Thus, the propensity to withhold effort has been studied. Kidwell & Bennett (1993) noted that this construct subsumes various work phenomena such as shirking, social loafing, and free riding.

Similar to the pattern observed in the citizenship behavior literature, researchers in the counterproductive domain began to notice the multiple, fragmented, overlapping efforts. After reviewing multiple variations of definitions, Martinko, Gundlach, and Douglas (2002) defined counterproductive behaviors as behavior by an organizational member that results in harming the organization or its members. Collins and Griffin (1998) noted that almost all of the definitions of counterproductive behavior include a disregard for societal and organizational rules and values. Sackett and DeVore (2001) proposed a hierarchical model, with a general counterproductivity factor at the top, a series of group factors, and specific behavior domains at the bottom.

APPENDIX B: Web-Based Survey

What does poor performance look like in your organization?

1. Project Background

We are requesting managerial input for a study on poor job performance. In particular, we are trying to develop a list of behaviors exhibited by poor performers in a variety of jobs. **WE NEED YOUR HELP!** In order for this model to have utility, we need to collect input from **YOU** -- managers working in the field, who have daily interaction with a variety of performance behavior. Please consider participating if you meet the following conditions:

- 1) You are currently a manager or supervisor of at least one exempt-level employee, or have been in that position within the previous year.
- 2) You must conduct performance appraisal of your employee(s) at least on an annual basis.

If these conditions describe you, please continue!

Next>>

2. Project Background and Survey Instructions

Thank you for agreeing to participate in this component of a dissertation study entitled "Substandard Job Performance", sponsored by Colorado State University. You have been asked to participate because of your knowledge and experience in performance management. Qualified managers who complete the survey may enter to win a \$25 American Express gift card.

The purpose of this study is to develop categories of individual job behaviors that may be applicable to a wide variety of exempt-level jobs. The goal is to capture behaviors that fail to meet organizational expectations for job success. The ultimate goal is to create a list of behaviors characterizing poor performance -- behaviors which could be recognized by observation of performance throughout the year.

Listed on the following pages are the initial categories of behaviors describing poor job performance. These behaviors were gathered from the industrial/organizational psychology literature. With your feedback, we hope to add to and refine these lists. The final model will have a hierarchical arrangement of broad categories with more specific subcategories but that

step will occur after we are sure we have all the necessary content. Therefore, we need your feedback regarding these behaviors and any suggestions you have for additional behaviors that we may have left out.

We ask that you review the 16 proposed categories and reflect upon the behaviors characterizing substandard performance in your organization. Also note that we are interested in any behaviors which detract from organizational productivity, whether that behavior is a core task of the employee's job or a contextual behavior that contributes indirectly to task completion. After each category is presented you will see space for you to add content or to suggest deletions of content. If you have nothing to add in that section, you can leave those spaces blank. Alternatively, if you disagree with any of the phrasing in our lists, you may want to suggest alternate wording.

Your survey responses are saved on each page, so if you want to come back to it later, you may do so. We just ask that you try to complete your responses by Tuesday November 29, 2005.

Participation in this research is voluntary. If you decide to participate in the study, you may withdraw your consent and stop participating at any time without penalty. However, we appreciate your feedback and hope that you will decide to contribute a few moments towards this goal. Your input will help to develop a model of substandard job performance that can be used to understand and manage poor performers.

We do not foresee any risks due to your participation. However, it is not possible to identify all potential risks in research procedures but the researchers have taken reasonable safeguards to minimize any potential, but unknown, risks.

Your information will be combined with information from other people taking part in the study. When we write about the study to share it with other researchers, we will write about the combined information we have gathered. You will not be identified in these written materials. We may publish the results of this study; however, we will keep your name and other identifying information private.

At the end of the survey, we will ask for your gender, age, tenure, position, and the industry in which you work. However, these demographic characteristics will not be recorded with your responses and will only be presented in summary form for the entire group of respondents.

Thank you in advance for your participation. Please contact us if you have any questions or concerns (phopp@colostate.edu or 970-491-4940). If you have any questions about your rights as a volunteer in this research,

contact Janell Meldrem, Human Research Administrator at 970-491-1655.

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3. Initial Categories of Poor Performance Behaviors

Below are the initial categories of poor performance behaviors that were generated from the literature. Please review them, add your feedback, and answer the few questions at the end. Thank you for your participation!

Category 1: Poor Work

- Has a poor work reputation
- Does not maintain sufficient technical knowledge and proficiency
- Lacks job-related knowledge
- Lacks job-related skills
- Doesn't complete core tasks
- Resists task completion
- Produces slow or sloppy work
- Produces errors, inaccuracies
- Is unconcerned with work quality
- Is unconcerned with work quantity
- Leaves work for others to finish
- Appears unprepared
- Lacks attention to detail
- Creates/causes on-the-job accidents
- Poor client/customer focus
- Does not carry out orders/directives

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next>>

4. Category 2: Inadequate Stress Reactions

Allows anxiety/stress to inhibit performance
Incites stress/panic in others
Addresses conflict inappropriately
Doesn't know what to do in crisis situations
Reacts inappropriately to emergencies/crises
Gets frazzled under pressure
Doesn't bounce back quickly from stress
Cannot tolerate deviations from routine
Makes mistakes, becomes careless under pressure
Gives up in the face of challenge, ambiguity
Struggles with the demands of multiple roles
Is unable to multi-task

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next >>

5. Category 3: Deficient Interpersonal Skills

Is not insightful about self or others (lack of self and other awareness)
Is tactless
Does not put others at ease/fails to establish rapport
Does not behave with empathy for others
Is not accepted by others
Fails to develop/maintain effective working relationships
Is unaware of situational cues regarding appropriate behavior
Avoids interpersonal interactions
Appears awkward in interpersonal interactions
Is argumentative
Is insensitive

Is rude
Is impatient
Appears unprofessional
Has poor emotion control: unable to manage emotions; displays inappropriate expression of positive and negative emotions; behavior is dictated by mood fluctuations
Lacks awareness of emotions
Cannot handle (reacts poorly to) criticism, rejection
Is overly sensitive
Talks down to others
Engages in passive expression of aggression
Instigates interpersonal conflict
Is untrustworthy
Is dishonest

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

<< Prev

Next>>

6. Category 4: Failure to Maintain Physical Well-Being

Appears lethargic
Displays signs of exhaustion
Does not maintain personal appearance
Is frequently sick

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next>>

7. Category 5: Lacks Team Orientation

Lacks team spirit

Is the social loafer or free rider in groups

Detracts from team performance

Is uncooperative

Does not help to integrate others' roles for collaboration (team building)

Does not collaborate with others

Does not help or give advice to others

Puts personal interests ahead of groups interests (is self-serving)

Competes with others in unproductive ways

Inappropriately claims responsibility for others' work

Does not defend others when appropriate

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next>>

8. Category 6: Ineffective Leadership

Does not balance interests of own unit with those of the entire organization
Fails to monitor unit progress
Does not lead change
Does not display personal concern for subordinates
Does not adequately evaluate performance of subordinates
Does not give timely, specific feedback
Does not provide learning opportunities for subordinates
Does not provide strategic vision to subordinates
Does not make subordinates feel valued
Does not adapt leadership style to the situation
Does not provide clear direction/guidance
Is unfamiliar with subordinates' behavior/fails to maintain knowledge of their duties
Uses intimidation to get things done
Does not ensure needed resources are available
Does not set goals for subordinates
Does not teach new approaches to subordinates
Has a negative influence on subordinate performance
Is a poor role model
Does not adequately reward/punish subordinates
Does not induce extra performance from subordinates
Fails to appropriately recognize subordinate contributions/achievements
Criticizes work in a destructive manner
Fails to maintain standards (or holds inconsistent standards) for subordinate performance
Does not identify training needs
Does not ensure training in response to identification of subordinate needs
Does not engage in continuous coaching
Is not concerned with subordinate skill improvement
Engages in ineffective material resource utilization
Engages in ineffective personnel utilization
Makes poor staffing decisions (recruiting, interviewing, selecting, transferring, promoting)
Does not maintain career development system for subordinates
Does not persuade subordinates to achieve excellence for its own sake
Does not delegate work appropriately
Does not consider the match between subordinate interests/abilities and the tasks assigned to them
Does not consider the overall organizational needs when assigning responsibilities
Does not relinquish any decision-making authority to deserving subordinates
Does not articulate unit goals
Does not inspire subordinates
Micromanages subordinates
Fails to take charge
Does not command respect from subordinates

Shows favoritism
Inappropriately uses power
Projects a false image of fairness

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next>>

9. Category 7: Ineffective Time Management

Often arrives late to work or leaves early for family reasons
Lets personal concerns interfere with work progress
Allows family demands to create time pressure at work
Has difficulty managing work and family demands
Reacts slowly to organizational demands/doesn't keep pace
Does not meet deadlines
Wastes time
Engages in task-irrelevant behavior, such as daydreaming or conducting personal business
Takes extended breaks
Gets distracted from task easily
Displays a lack of urgency with clients, customers, or stakeholders

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next>>

10. **Category 8: Poor Decision Making and Problem Solving**

- Uses poor judgment
- Makes unfair decisions
- Makes poor decisions
- Does not make timely decisions
- Does not consider all of the relevant information when making decisions
- Has difficulty with technical problems
- Does not forecast problems
- Does not recognize problem situations/lacks awareness
- Does not know which pieces of information are most relevant for the specific problem
- Improperly interprets data
- Makes incorrect inferences
- Does not seek input
- Does not consider alternative approaches
- Does not generate creative approaches
- Has difficulty solving ill-defined or complex problems
- Cannot think outside typical parameters
- Is unwilling/hesitant to make difficult decisions

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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11. Category 9: Poor Planning and Organization

- Poorly assembles/organizes resources
- Does not control costs/adhere to budget
- Does not anticipate changes in demands
- Does not prioritize work
- Does not think strategically
- Does not plan/prepare before acting
- Does not gather the needed information
- Does not choose appropriate goals/objectives
- Does not have methods for organizing information
- Keeps an unorganized work space
- Lacks discipline
- Keeps inaccurate or incomplete, records
- Falls behind with administrative tasks
- Has difficulty scheduling
- Acts on impulses

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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12. Category 10: Harassing Behavior Towards Others

- Makes fun of others
- Embarrasses others
- Makes ethnic, religious, or racial remarks
- Highlights negative aspects of others
- Plays pranks
- Belittles/minimizes positive contributions of others
- Insults others

Ridicules others
Gives others the silent treatment
Invades others' privacy
Tries to retaliate against others
Tries to spoil coworkers' reputations
Engages in excessive gossip
Cheats customers, clients, or coworkers
Discourages others
Engages in inappropriate physical action: bodily contact, obscene gestures

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next >>

13. Category 11: Intentionally Destructive/Deviant Behavior

Steals money or merchandise
Works under the influence of alcohol or drugs
Allows work quality to suffer from alcohol or drug use outside of work
Sabotages production
Threatens violence
Destroys/tampers with equipment, materials or information
Vandalizes property
Initiates/instigates aggressive acts with others
Engages in technology-related deviance: sabotages computer programs, steals proprietary information, executes viruses, or hacks into private computer space

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next >>

14. Category 12: Disrespectful, Uncommitted, and Unaware of Organization

- Reveals confidential information to outsiders
- Does not defend the organization to outsiders
- Does not exhibit pride in promoting/representing the organization to outsiders
- Misrepresents/distorts information about the organization
- Does not remain committed to the organization under adverse conditions
- Is disloyal to the organization's values/goals
- Is unaware of industry trends
- Does not maintain awareness of competitors
- Does not stay informed about issues relevant to the success of the organization
- Does not support the organization's mission
- Does not display organizational savvy
- Politically naive: does not understand political relationships and power distribution
- Lacks organizational awareness
- Does not think about the organization's best interests
- Is wasteful with resources
- Litters in work environment
- Talks negatively about company
- Does not look out for threats and opportunities in the environment
- Does not comply with rules/regulations/policies/procedures
- Outwardly questions/criticizes the organization's policies/procedures
- Outwardly questions/criticizes the organization's higher authorities
- Uses inappropriate lines of authority (i.e., skips over immediate supervisor)
- Violates safety/security rules and regulations
- Breaks rules/regulations
- Does not conform to culture/norms
- Is unethical, compromises values, lacks integrity
- Underreports absenteeism
- Misuses expense account
- Misuses employee discounts

Gives away goods/services
Falsifies records
Falsifies receipts to get reimbursed
Uses company property for personal use
Uses computer for inappropriate personal use: downloading illegal material, viewing inappropriate material
Uses computer to search for a new job on company time

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next >>

15. Category 13: Poor Work Attitude/Work Ethic

Has a cynical attitude
Appears dissatisfied
Has low morale
Exhibits signs of apathy
Expresses envy and resentment towards others
Complains of being misunderstood and unappreciated
Has an unruly, inflammatory attitude toward work
Voices exaggerated and persistent complaints of personal misfortune
Complains about inconveniences and impositions
Makes excessive excuses
Broadcasts own limitations
Blames others
Complains about new technology
Uses politics instead of effort to get ahead
Will not rearrange schedule to accommodate demands (stay late/arrive early)
Is not dedicated to the job
Does not persist when things get tough
Does not display enthusiasm
Lacks professional efficacy/feelings of competence
Is overconfident about own skills and abilities

Acts helpless
Lacks confidence
Does not follow through/fulfill commitments
Has a negative attitude about authority
Arrives late
Leaves early
Misuses sick leave
Engages in excessive absenteeism

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next >>

16. Category 14: Complacent/Avoidant Behavior at Work

Turns down work
Shirks responsibility
Displays low personal involvement
Does not find personal meaning through work
Does not appear to feel part of the larger whole
Appears detached from work and others
Sticks to oneself
Deflects accountability
Withdraws from work
Avoids formal and informal training
Resists technology use
Does not go beyond minimal requirements
Gives minimal effort
Does not take initiative
Is not proactive
Does not volunteer for extra responsibilities
Appears lazy
Does not seek ways to improve own, group, or organizational functioning
Does not engage in self-development activities
Does not balance self—development with core task completion

Avoids feedback
Disregards feedback
Is passive regarding own performance/career
Does not ask for help when warranted
Covers up mistakes
Avoids/fears change or new work
Appears unwilling to handle difficult situations
Is unassertive
Will not confront problems
Is unwilling to deliver bad news/unpopular opinions
Plays dumb
Does not attend meetings
Cyberslackcing (Internet procrastination): uses Internet for non-work relevant information and entertainment
Engages in excessive personal emailing
Does not seek new activities during down-time

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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Next>>

17. Category 15: Poor Communication

Uses inappropriate eye contact
Uses inappropriate/awkward nonverbal communication
Displays poor posture
Uses inappropriate tone, volume, and speed
Uses inappropriate facial expressions
Is unclear and ineffective in oral communications
Is unclear and ineffective in written communications
Struggles with informal small talk
Is repetitive or excessive in making a point

Gives awkward and ineffective presentations
Has poor listening skills/does not attend to others
Does not tailor communication for audience
Does not know when to speak up versus when to stay quiet
Interrupts/finishes the sentences of others
Engages in excessive/inappropriate self-disclosure
Engages in inappropriate expressions of opinion
Apologizes at inappropriate times
Chooses inappropriate content for workplace conversations
Tells people what they want to hear instead of the truth
Gives incorrect or misleading information
Withholds needed information
Creates or forwards inappropriate emails
Presents weak/ineffective arguments
Swears/curses frequently

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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18. Category 16: Intolerance/Rigidity

Is closed-minded to new ideas
Cannot adapt to a rapidly changing environment
Resists change
Cannot modify goals as demands necessitate
Does not learn about or understand other cultural groups
Does not work well with diverse personalities
Does not integrate well/Is not comfortable with others having different values/customs
Is disrespectful/intolerant of diverse others
Does not value differences in opinions/approaches

Does not appreciate diversity of cultures
Does not adapt to discomfort in the physical environment (temperature, noise)
Does not adapt to meet the physical requirements of job tasks
Is inflexible
Does not know when/how to tailor behavior to the situation

1. Can you think of additional behaviors that describe this category? Think specifically about errors of omission (what people fail to do) and about errors of commission (what people should NOT do).

2. Should anything be removed from the above category?

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19. Overall Questions

Please consider all of the categories in answering the following questions.

33. How complete were our listings of behaviors? In other words, did we capture the range and depth of poor performance that you observe in your job?

1	2	3	4	5
Very Incomplete	Somewhat Incomplete	Neither Incomplete Nor Complete	Somewhat Complete	Very Complete

34. How useful do you think a model of substandard performance would be to you in your organization?

- | | | | | |
|-------------------|--|-----------------------|-----------------------------|------------------------------|
| 1 | 2 | 3 | 4 | 5 |
| Not at all useful | May have some use, but I'm not quite sure what | I'm indifferent to it | It would probably be useful | It would be extremely useful |

35. How might you use this model in your work?

36. Please let us know of any other thoughts, concerns, suggestions, or ideas you have regarding our listing of poor performance behaviors.

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22. Demographic Information

We would like to know a little bit about the respondents. This information will only be considered in summary form, and will not be used to link you to your responses. No attempts are made to identify any person based on their responses.

37. What is your age?

- 18-25
- 26-44
- 45-65
- 66+

38. What is your gender?

- Female
- Male

39. How many years of full-time work experience do you have?

- 0-5
- 6-10
- 11-15
- 16-20
- 21-25
- 26-30
- 31-35
- 36-40
- 41+

40. What is your current title/position?

41. How many employees do you currently supervise?

- 1-10
- 11-25
- 26-50
- 51+

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42. In what industry do you work?

- Agriculture, mining, and construction (Includes forestry, fishing, oil and gas extraction)
- Manufacturing (Includes aerospace product and parts manufacturing, apparel manufacturing, chemical manufacturing, computer and electronic product manufacturing, food manufacturing, motor vehicle and parts manufacturing, pharmaceutical and medicine manufacturing, printing, steel manufacturing, and textile mills and products)
- Trade (Includes automobile dealers, clothing, accessory, and general merchandise stores, grocery stores, and wholesale trade)

- ❑ Transportation and utilities (Includes air transportation, truck transportation and warehousing, and utilities)
- ❑ Information (Includes broadcasting, motion picture and video industries, publishing, software publishers, and telecommunications)
- ❑ Finance activities (Includes banking, insurance, securities, commodities, and other investments)
- ❑ Professional and business services (Includes advertising and public relations services, computer systems design and related services, employment services, management, scientific, and technical consulting services)
- ❑ Education and health services (Includes child daycare services and social assistance)
- ❑ Leisure and hospitality (Includes arts, entertainment, and recreation; food services and drinking places; hotels and other accommodations)
- ❑ Government (Includes Federal, state, and local)
- ❑ Other (please specify):

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24. One last step...

You're almost done! Thank you so much for your contribution to this study – it is greatly appreciated. As a token of appreciation, we will draw the email address of one participant to receive a \$25 gift card. If you would like to be included in the drawing, you will need to enter your email address below. (Note your identity will not be linked to any of the comments you made on this survey.)

To be included in the drawing, please list an email address that we may use to contact you if you win. (If you do not list an email address, you will not be entered into the drawing.)

Survey Completed!

Thank you for your participation!

APPENDIX C: SME Focus Group Instructions

Dear Subject Matter Expert:

Thank you for agreeing to participate as a subject matter expert in the study entitled "Substandard Job Performance: Examining Performance Appraisal Narratives of Poor Performers." You have been recruited for participation due to your knowledge and understanding of job-related performance behaviors, gained through your experiences in the CSU I/O doctoral program. The study is being conducted by Pam Levine and is being supervised by Eric Heggstad. Please feel free to discuss any issues or concerns with Pam who will be present throughout your participation, or to contact Dr. Heggstad following your participation (edhegges@email.uncc.edu).

Your participation will contribute to the construct definition of substandard job performance. In particular, you will be asked to engage in the following activities: review various dimensions of substandard job performance, discuss, and come to group consensus on the hierarchical arrangement of the dimensions. We expect that the activity will take no longer than 2 hours. All participation will take place in this CSU classroom and will be in the form of a focus group. A focus group, by definition, is a small group of people brought together to engage in open discussion on a particular topic or problem.

We do not foresee any risks due to your participation. However, it is not possible to identify all potential risks in research procedures, but the researchers have taken reasonable safeguards to minimize any potential, but unknown, risks. There are no direct benefits of your participation, although we hope that you will gain experience serving as a subject matter expert in a focus group and gain insight regarding the nature of substandard job performance.

Your participation in this research is voluntary. If you decide to participate in the study, you may withdraw your consent and stop participating at any time without penalty.

Your information will be combined with information from other people taking part in the study. When we write about the study to share it with other researchers, we will write about the combined information we have gathered. You will not be identified in these written materials. We may publish the results of this study; however, we will keep your name and other identifying information private.

We will ask for your tenure in the I/O program, years of work experience, gender, and age; however, these characteristics will only be presented in summary form for the group of participants and will not be linked to any information that you provide in today's session.

Thank you in advance for your participation. Please let the investigator know if you have any questions or concerns. If you have any questions about your rights as a volunteer in this research, contact Janell Meldrem, Human Research Administrator at 970-491-1655.

Sincerely,
Pamela Levine and Eric Heggstad

Demographic Information of SMEs

1. Gender: _____
2. Age: _____
3. How long have you been enrolled in the I/O program?
_____ Years, _____ Months
4. Do you have your master's degree? (or have at least fulfilled all requirements for the master's degree) _____
5. Approximately how many years of work experience do you have? _____

Project Description

Thank you for agreeing to participate in this focus group! A focus group, by definition, is a small group of people brought together to engage in open discussion on a particular topic or problem. Specifically, the aim is to reach an objective through a process of interaction and reaction to each other's insights and ideas. The process works best with diversity of ideas – so please do not hold back or superficially agree with other members just for the sake of agreement. The intent is to have in-depth discussion until we evolve to agreement.

The goal of this session, in particular, is to discuss the various dimensions of substandard performance and to reach agreement about the arrangement of these dimensions into a classification scheme with multiple levels of groupings. The intent is to create a structure that captures substandard performance issues to various degrees of specificity. In other words, there may be broad groupings at the top, with more specific categories beneath. The more specific categories may also have subcategories. There can be as many levels as we deem necessary for this construct.

Background

This project involves creation of a model of substandard performance behavior. As you know, there are many models that describe effective job performance. Also, there are models of counterproductive work behaviors and workplace deviance. However, there have been no treatments of the behaviors that fall in between these two domains – the behaviors which characterize poor job performance.

We use the term substandard job performance to refer to performance behaviors which fall below an organization's standards for success. Obviously, the exact standards for success vary by organization. However, the goal is to provide an organizing framework which can apply to a wide variety of jobs, and of which most of the categories will be relevant to any job. In particular, we are focusing on exempt level jobs (not hourly positions).

[*Exempt positions are not regulated under the Fair Labor Standards Act regarding minimum wage and overtime; are typically salaried; and generally require higher levels of skills and abilities.]

Overview of Methodology

This project utilizes a construct-oriented strategy of model development in which dimensions of substandard performance are qualitatively defined, rather than quantitatively discovered. Specifically, we rely on our (and others') conceptualization of substandard performance to yield a set of behaviors that detract from an organization's goals.

The first step consisted of an extensive literature search – themes were extracted from a variety of literatures involving effective performance, counterproductive behavior, adaptive performance, organizational citizenship behavior, job stress, technology, impression management, managerial performance, social dysfunction in organizations, etc. These themes were written to reflect the negative, or undesirable, aspect of the behavior being referenced and were recorded onto index cards.

The index cards were then sorted into tentative categories based on similarity of content. A web survey was created to gain managerial input on the breadth of content gained via the literature search. Managers from a variety of organizations made suggestions regarding additions or deletions of the listed behaviors. Revisions were made to the list based on this feedback.

Instructions

This is where your help is needed! The next step is to create a hierarchical arrangement of substandard performance categories. The current content is listed in tentative categories. However, these categories were provided as a reference point from which we may begin – it is expected that we will rearrange and re-label the categories as we see fit. Thus, keep an open mind and do not rely too heavily on the current arrangement.

Also, do not focus too narrowly on the specific behaviors – these will become examples of each broader category that we create. If time permits, we may discuss the specific behaviors, but today's goal is to develop the categorization scheme for the behaviors. In the process of creating the categorization scheme, we may need to rearrange some of the behaviors, but the final sorting of all behaviors will be done *after* the categories have been finalized.

Below is some additional information to help guide this process:

Criteria for Substandard Performance Categories

1. Must be behaviorally-based.
2. Must describe performance which falls below organizational expectations for job success and which, over time, serves to detract from organizational goals.
3. Interdependence between categories should be minimized as much as possible so that distinctiveness among categories is maximized.
4. Label should provide a clear statement of the performance area being addressed.
5. The final list of broad categories should cover the important and common aspects of substandard job performance.
6. The final list of the most specific behaviors will not be totally exhaustive, but will offer key exemplars.

APPENDIX D: Expert Feedback Materials

December 19, 2005

Dear Subject Matter Expert:

Thank you so much for reviewing the following model. Your input will help to develop a more thorough and useful outcome. First, the conditions of your participation are outlined, followed by a brief description of this project.

- ❑ We do not foresee any risks due to your participation. However, it is not possible to identify all potential risks in research procedures, but the researchers have taken reasonable safeguards to minimize any potential, but unknown, risks. There are no direct benefits of your participation.
- ❑ Your participation in this research is voluntary. If you decide to participate in the study, you may withdraw your consent and stop participating at any time without penalty.
- ❑ Your demographic information will be combined with information from other people taking part in the study. When we write about the study to share it with other researchers, we will write about the combined information we have gathered. You will not be identified in these written materials. We may publish the results of this study; however, we will keep your name and other identifying information private.
- ❑ Please let the investigator know if you have any questions or concerns. If you have any questions about your rights as a volunteer in this research, contact Janell Meldrem, Human Research Administrator at 970-491-1655.

Project Description

The objective was to develop a model of substandard performance behaviors so that we can better identify what substandard job performance looks like in organizations. I expected that a foundation of substandard performance would resemble the opposite of effective performance dimensions, but that there would be additional behaviors that are not represented by assuming the opposite of good performance. Thus, a literature search was conducted to review models of performance-relevant behavior, which included topics such as organizational citizenship behavior, counterproductive and related behavior, stress, technology, impression management, and social dysfunction. Grounded theory analysis was used to extract themes from the literature and to develop initial dimensions of substandard performance. This was done by writing themes on index cards and sorting these themes into possible dimensions. The initial dimensions were then reviewed by a sample of managers working in a variety of industries. The model was then revised based on the managers' suggestions for additions and deletions. Next, a group of graduate students held a focus group to develop the hierarchical structure of the categories. Definitions were created and the model was revised into 3 broad domains, 10 major content areas, 34 dimensions, and 197 behavioral examples. Now, I am seeking feedback from experts in the domain of performance/performance appraisal.

The intention of this effort was to create a model that could be used in organizations to aid identification of poor performers and to encourage better feedback for poor performers through the specification of the particular behaviors deemed to be substandard. For instance, many organizations structure their performance appraisals to provide feedback based on their competency model, resulting in feedback which indicates what the performer did *not* do. However, in addition to these errors of omission, there may be errors of commission -- meaning that employees may do things that they should not have done. It is believed that this model will aid identification of both kinds of errors so that poor performers have more potential to understand and improve upon their undesirable behavior.

The term "substandard performance" refers to behaviors which fail to meet expectations for workplace success. The model was intended to apply to exempt-level employees in a variety of industries, so that most dimensions would be relevant to most jobs. Here are some additional criteria for the categories:

Criteria for Substandard Performance Categories

- ❑ Must be behaviorally based.
- ❑ Must describe performance which falls below organizational expectations for job success and which, over time, serves to detract from organizational goals.
- ❑ Interdependence between categories should be minimized as much as possible so that distinctiveness among categories is maximized.
- ❑ Label should provide a clear statement of the performance area being addressed.
- ❑ The final list of dimensions should cover the important and common aspects of substandard job performance.
- ❑ The final list of indicators will not be totally exhaustive, but will offer key exemplars.
- ❑ The indicators are written in the format of a) an error of omission AND/OR b) an error of commission. In other words, in each case, the indicator addresses what an employee did not do and/or what the employee did do as examples of substandard performance.

Attached is the proposed listing of behaviors. I am seeking feedback on the following topics:

- a. Breadth/depth of content
- b. Structural arrangement of domains, content areas, dimensions, and indicators
- c. Clarity of wording
- d. Use of both errors of omission and commission
- e. Potential value of this model
- f. Overall impressions

Again, I thank you for your time and input. I am extremely grateful to have your participation and look forward to hearing your feedback.

Please do not hesitate to contact me if you should have any questions! Thank you.

Sincerely,

Pamela Levine
Doctoral Candidate, Colorado State University
phopp@colostate.edu

Demographic Information

1. GENDER _____
2. AGE _____
3. YEARS OF WORK SINCE COMPLETING DOCTORAL DEGREE _____

APPENDIX E: Managerial Interview Materials

January 6, 2006

Dear Manager:

Thank you for agreeing to participate in this Colorado State University-sponsored dissertation project entitled "Substandard Job Performance." Your input will help to develop a more thorough and useful model of poor job performance. First, the conditions of your participation are outlined, followed by a brief description of this project.

- ❑ We do not foresee any risks due to your participation. However, it is not possible to identify all potential risks in research procedures, but the researchers have taken reasonable safeguards to minimize any potential, but unknown, risks. There are no direct benefits of your participation, although it is hoped that this study will help you to better identify and manage poor performance in your organization.
- ❑ Your participation in this research is voluntary. If you decide to participate in the study, you may withdraw your consent and stop participating at any time without penalty.
- ❑ Your demographic information will be combined with information from other people taking part in the study. When we write about the study to share it with other researchers, we will write about the combined information we have gathered. You will not be identified in these written materials. We may publish the results of this study; however, we will keep your name and other identifying information private.
- ❑ Please let the investigator know if you have any questions or concerns. If you have any questions about your rights as a volunteer in this research, contact Janell Meldrem, Human Research Administrator at 970-491-1655.

Project Description

The objective of this project is to develop a model of substandard performance behavior so that we can better identify what substandard job performance looks like in organizations. A literature search was conducted to review models of performance-relevant behavior, which included topics such as organizational citizenship behavior, counterproductive behavior, stress, technology, impression management, and social dysfunction. Grounded theory analysis was used to extract themes from the literature and to develop initial categories of substandard performance. This was done by writing themes on index cards and sorting these themes into possible categories. The initial categories were then reviewed by a sample of managers working in a variety of industries. The model was revised based on the managers' suggestions for additions and deletions. Next, a group of graduate students held a focus group to develop the hierarchical structure of the categories. Definitions were created and the model was revised into 3 broad domains, 10 major content areas, 35 dimensions, and 227 behavioral examples. The goal of this step is to collect feedback from managers in the field, or potential users of this model. Specifically, your knowledge and experience in performance management is needed in order to make judgments about the specific content, clarity, and observability of the behaviors and categories listed in this model.

The intention of this effort is to create a model that could be used in organizations to aid identification of poor performers and to encourage better feedback for poor performers through the specification of the particular behaviors deemed to be substandard. For instance, an organization might structure their performance appraisals to provide feedback based on their competency model, resulting in feedback which indicates what the performer did *not* do. However, in addition to these errors of omission, there may be errors of commission -- meaning that employees may do things that they should not have done. It is

believed that this model will aid identification of both kinds of errors so that poor performers have greater potential to understand and improve upon their undesirable behavior.

The term “substandard performance” refers to behaviors which fail to meet expectations for workplace success and which, over time, serve to detract from organizational goals.

The model was intended to apply to exempt-level employees in a variety of industries, so that most dimensions would be relevant to most jobs. Here are some additional criteria for the categories:

Criteria for Substandard Performance Categories

- ❑ Must be behaviorally based.
- ❑ Must describe performance which falls below organizational expectations for job success and which, over time, serves to detract from organizational goals.
- ❑ Interdependence between categories should be minimized as much as possible so that distinctiveness among categories is maximized.
- ❑ Label should provide a clear statement of the performance area being addressed.
- ❑ The final list of dimensions should cover the important and common aspects of substandard job performance.
- ❑ The final list of indicators will not be totally exhaustive, but will offer key exemplars.
- ❑ The indicators are written in the format of a) an error of omission AND/OR b) an error of commission. In other words, in each case, the indicator addresses what an employee did not do and/or what the employee did do as examples of substandard performance.

Attached is the proposed model. Please take some time to review this model prior to our interview. You may want to take notes or make marks on this model as you go through to keep track of your thoughts. In particular, the following represents a list of issues to keep in mind as you review the model. These topics represent the questions that will be asked of you in the interview:

- 1) Comprehensive coverage – does the model’s content include all important content areas, with appropriate emphasis? Are there trivial issues or redundancies that should be eliminated?
- 2) Limited overlap – are the categories and associated indicators as distinct from one another as possible?
- 3) Uniform specificity – are categories and associated indicators consistent in level of specificity?
- 4) Observability – do categories and associated indicators address observable behaviors?
- 5) Structural arrangement – should the arrangement of domains, content areas, dimensions, and indicators be changed?
- 6) Clarity of wording – should any of the wording of specific definitions, labels, or indicators be changed?
- 7) Strengths and weaknesses for possible uses:
 - a. How might this model be used in your organization?
 - b. How would you rate the model’s ease of use/application? How much tailoring would you need to do in order to use this model in your organization?
 - c. What are the strengths and weaknesses of this model?

Again, I thank you for your time and input. I am extremely grateful to have your participation and look forward to speaking with you.

Please do not hesitate to contact me if you should have any questions! Thank you.

Sincerely,

Pamela Levine
Doctoral Candidate, Colorado State University
phopp@colostate.edu

Demographic Information

1. GENDER _____
2. AGE _____
3. YEARS OF WORK EXPERIENCE _____
4. POSITION/TITLE _____
5. NUMBER OF DIRECT REPORT EMPLOYEES _____
6. PLEASE SELECT ONE OF THE FOLLOWING CATEGORIES WHICH DESCRIBES THE INDUSTRY IN WHICH YOU WORK:

- Agriculture, mining and construction** (Includes forestry, fishing, oil and gas extraction)
- Manufacturing** (Includes aerospace product and parts manufacturing, apparel manufacturing, chemical manufacturing, computer and electronic product manufacturing, food manufacturing, motor vehicle and parts manufacturing, pharmaceutical and medicine manufacturing, printing, steel manufacturing, and textile mills and products)
- Trade** (Includes automobile dealers, clothing, accessory, and general merchandise stores, grocery stores, and wholesale trade)
- Transportation and utilities** (Includes air transportation, truck transportation and warehousing, and utilities)
- Information** (Includes broadcasting, motion picture and video industries, publishing, software publishers, and telecommunications)
- Finance activities** (Includes banking, insurance, securities, commodities, and other investments)
- Professional and business services** (Includes advertising and public relations services, computer systems design and related services, employment services, management, scientific, and technical consulting services)
- Education and health services** (Includes child daycare services and social assistance)
- Leisure and hospitality** (Includes arts, entertainment, and recreation; food services and drinking places; hotels and other accommodations)
- Government** (Includes Federal, state, and local)

Managerial Interview Script

- 1) How complete did you think the model was?
 - a. Were all of the important content areas included or would you suggest the addition of any?
 - b. Did the content areas appear to have appropriate emphasis (e.g., did the wording or number of indicators coincide with the importance of the topic area)?
 - c. Were there trivial issues or redundancies that should be eliminated?
- 2) Some interdependence is inevitable among these behaviors. However, we have tried to minimize the overlap as much as possible. Did you perceive a lot of overlap or did the categories appear to be relatively distinct from one another?
- 3) How did you feel about the level of specificity in the categories and indicators?
 - a. Was the specificity uniform throughout the model?
 - b. Which categories or indicators were more specific than others?
 - c. Which categories or indicators were less specific than others?
- 4) Did you come across any indicators that were not behaviorally-based or able to be observed and documented?
- 5) What did you think of the structural arrangement which resulted in the broad domains, content areas, specific dimensions, and behavioral indicators?
- 6) Was the wording of the definitions, labels and indicators clear? Do you suggest any changes?
- 7) How might this model be used in your organization?
- 8) How would you rate the model's ease of use/application?
 - a. How much tailoring would be needed in order to use this model in your organization?
- 9) What are the strengths of this model?
- 10) What are the weaknesses of this model?

APPENDIX F: Post-survey Substandard Performance Content

Inadequate task performance

- Knowledge/skill deficiency
 - Does not remain current in technical knowledge/proficiency
 - Does not remain current in job-relevant knowledge and/or skills
 - Does not ask for help when deficiency is recognized
 - Does not have a realistic sense of own abilities and limitations (is overconfident or insecure) when taking on work
- Task completion
 - Does not comply with instructions/directives from manager
 - Does not remain focused on one task long enough to complete it/gets distracted easily
 - Does not report progress (or lack of progress) in a timely manner
 - Does not meet the physical requirements of job tasks
- Work quality
 - Produces unorganized work
 - Produces inaccurate/erroneous work
 - Does not attend to details
- Work quantity
 - Produces less (or more) than the prescribed amount
 - Does not reach numerical targets
- Poor work speed
 - Requires repeated instruction when learning new tasks
 - Reacts slowly to organizational demands/doesn't keep pace
 - Works long hours or weekends just to meet minimum standards
 - Ineffective time management
 - Wastes time by engaging in task-irrelevant behavior
 - Misses deadlines
 - Fails to leverage technology or alternative means to save time (i.e., walks something around building instead of emailing it)
 - Procrastinates
 - Does not use time management tools (scheduler)
- Unsafe behavior
 - Causes on-the-job accidents
 - Violates safety/security rules and procedures
- Inadequate client focus

- Displays a lack of urgency with clients, customers, and stakeholders
- Makes unrealistic promises to customers/clients

Ineffective stress reactions

- Passive responses
 - Shuts down/gives up in stressful situations
 - Passes problem on to manager or others for assistance
 - Withdraws from interpersonal interactions
 - Poor eye contact
 - Voice becomes quiet, unclear, or quivers
- Active responses:
 - Incites stress/panic in others
 - Makes mistakes/becomes careless/clumsy
 - Engages in excessive emotional displays
 - Displays nervous habits, such as pencil tapping, throat clearing
 - Treats others in an insensitive manner
- Low stress resilience:
 - Becomes incapacitated to handle additional challenges when one problem arises
 - Does not tolerate deviations from routine
 - Struggles to balance multiple demands/roles
 - Does not adapt to rapidly changing environments
 - Does not adapt to or tolerate changes in the physical environment (temperature, noise)

Poor interpersonal skills

- Fails to treat others with respect
 - Utilizes an argumentative style
 - Talks or acts in a condescending manner; talks down to others
 - Talks or acts in an impatient manner
 - Engages in excessive self-promotion/tries to spoil image of others
 - Highlights others' negative aspects
 - Belittles/minimizes positive contributions of others
 - Insults others
 - Gives others the silent treatment
 - Invades others' privacy
 - Discourages others
 - Treats people differently based on gender, race, ethnicity
- Harasses others
 - Publicly ridicules/embarrasses others or makes fun of their ideas
 - Makes ethnic, religious, racial, or gender-based remarks or jokes
 - Plays pranks
 - Tries to retaliate against others
 - Spreads rumors/fabricates stories

- Threatens others
- Instigates aggressive or violent interactions
- Lacks interpersonal awareness/insight
 - Does not behave with empathy for others
 - Does not tailor behavior to fit the situation/disregards situational cues
 - Does not learn about or understand other cultural groups
 - Does not integrate or become comfortable with others having different values/customs/lifestyles
 - Does not adapt to diverse personalities
- Avoids interpersonal interactions
 - Sticks to oneself
 - Struggles with informal “small talk”
- Low emotional control/awareness
 - Lacks awareness of own and others’ emotions
 - Displays inappropriate expression of both positive and negative emotions
 - Lets mood fluctuations dictate behavior
 - Is overly sensitive
 - Engages in passive-aggressive behavior

Poor communication

- Verbal
 - Speaks in a tone which is inappropriate for the situation or offensive
 - Speaks too quietly (or too loudly) for the situation
 - Speaks too fast (or too slow)
 - Mumbles/does not enunciate
 - Uses poor grammar
 - Does not attend to what others are saying/does not listen actively
 - Does not know when to speak up versus when to stay quiet
 - Interrupts/finishes the sentences of others
- Nonverbal
 - Avoids eye contact
 - Invades others’ personal space
 - Uses inappropriate body language, facial expressions, and/or posture
 - Does not coincide with verbal communication
 - Inappropriate for situation
- Written
 - Uses inappropriate tone/approach/style for situation
 - Writes illegibly in situations where legibility is important
 - Has grammatical errors and/or typos
 - Creates and/or forwards inappropriate emails
- Formal
 - Is unprepared for formal presentations
 - Loses competence when speaking in front of large groups

- Uses an awkward/ineffective presentation style
- General
 - Does not tailor communication for audience
 - Engages in excessive/inappropriate self-disclosure
 - Engages in inappropriate expressions of opinions
 - Apologizes in excess
 - Uses humor when inappropriate
 - Chooses inappropriate content for the workplace
 - Tells people what they want to hear instead of the truth
 - Gives incorrect or misleading information
 - Fails to clarify the situation when needed
 - Withholds needed information/fails to keep others informed
 - Presents weak/ineffective arguments that fail to persuade audience
 - Uses inappropriate language (i.e., swears/curses)
 - Belabors the point/Is repetitive
 - Includes too much extraneous material/hides the main point
 - Does not provide enough supporting material/context

Lack of professionalism

- Does not maintain personal appearance
- Does not maintain acceptable hygiene
- Does not maintain professional dress
- Engages in excessive office gossip
- Engages in inappropriate physical action: bodily contact, obscene gestures
- Does not maintain physical readiness to work (comes to work hung over, lethargic, exhausted, under the influence of alcohol or drugs)
- Uses inappropriate lines of authority (skips over immediate supervisor)
- Poor work ethic
 - Approaches work with a negative attitude/low morale
 - Allows negative attitude/low morale to infect others
 - Displays low personal involvement/detachment
 - Does not find personal meaning through work
 - Allows non-work/personal demands or concerns to interfere with work
 - Has difficulty maintaining balance between work and personal life
 - Complacent behavior
 - o Exhibits signs of apathy
 - o Is not engaged by work
 - o Does not go beyond minimal requirements
 - o Waits to be asked/instructed
 - o Does not seek ways to improve own, group, or organizational functioning
 - o Does not seek new activities during down time
 - o Avoids and/or ignores feedback

- o Is not concerned with career development
 - Avoids formal and/or informal training or other self-development activities
 - Does not volunteer for additional tasks or responsibilities
 - Does not set milestones, developmental plans
- Voices persistent complaints
- Makes excessive excuses/shirks responsibility/deflects accountability
- Broadcasts own limitations
- Relies on politics instead of effort to get ahead
- Reacts poorly to criticism and/or rejection of ideas
- Exhibits a poor dependability record
 - o Is frequently absent
 - o Arrives late and/or leaves early
 - o Does not rearrange schedule to accommodate demands
 - o Does not follow through with people and tasks
 - o Does not stick to commitments (i.e., misses important meetings)
 - o Does not give adequate notice to management about upcoming time off
- Avoidant behavior
 - o Turns down work or withdraws from work
 - o Resists technology use
 - o Plays dumb
 - o Intentionally leaves work for others to finish
- Spends considerable amounts of time off-task
 - o Takes long and frequent breaks
 - o Reads non-job-relevant newspapers, magazines, books on the job
 - o Engages in cyberslacking: uses Internet for entertainment or non-work purposes
 - o Engages in excessive personal emailing
 - o Conducts personal business
 - o Talks to coworkers in excess

Lacks team orientation

- Team building
 - Does not include everyone with a legitimate stake in the team goal
 - Does not foster collaboration/integrate individual roles
 - Volunteers others without their prior knowledge
- Team participation
 - Lacks contribution in teams/fails to achieve goals as a team member
 - Ignores or downplays the knowledge/skills/experience of others
 - Does not cooperate with others
 - Does not share responsibility with others
 - Does not solicit and/or accept ideas from others

- Does not help/give advice to others
- Puts personal interests ahead of group's interests
- Competes with others in unproductive ways
- Expresses envy and resentment towards others
- Inappropriately claims responsibility for others' work
- Does not defend others when appropriate
- Does not strive for team consensus
- Blames others
- General team spirit
 - Prefers to work in isolation
 - Instigates cliques instead of a team spirit

Deficiencies in managing others

- Assertiveness
 - Does not take reasonable risks
 - Resists delivery of bad news or unpopular opinions
 - Resists/avoids confrontation
 - Does not assert oneself
 - Does not take charge/command authority
 - Does not command respect from others
 - Fails to react or follow through with others' untimeliness
- General leadership behaviors
 - Resists change
 - Does not provide strategic vision
 - Does not make subordinates feel valued
 - Does not adapt leadership style to the situation or particular subordinate
 - Uses intimidation to get things done
 - Does not ensure needed material/personnel resources are available and/or ineffectively uses material/personnel resources
 - Does not lead by example
 - Does not induce extra performance in subordinates
 - Does not inspire others to achieve excellence
 - Minimizes safety concerns to achieve goals/takes shortcuts
 - Does not listen to and display personal concern for subordinates
- Staffing/Placement
 - Does not recruit effectively
 - Poor interviewing
 - Poor selection/placement/transfer/promotion decisions
 - Does not consider the match between subordinate interests/abilities and the tasks
 - Does not consider the overall organizational needs when determining assignments
- Performance management

- When providing direction
 - Does not provide clear instruction/guidance
 - Does not delegate appropriately
 - Fails to maintain standards, or holds inconsistent standards, for subordinate performance
 - Does not relinquish any decision-making authority to deserving subordinates
 - Does not articulate unit goals
 - Micromanages subordinates' work
 - Dictates rather than leads
- Provides feedback
 - Fails to monitor individual and/or unit progress
 - Fails to maintain knowledge of subordinate duties
 - Does not adequately evaluate subordinate performance
 - Does not give timely feedback
 - Does not give specific feedback
 - Does not provide appropriate rewards and/or punishments
 - Fails to recognize subordinate achievements/contributions
 - Criticizes work in a destructive manner
- Provides career development – does not maintain career development system for subordinates
 - Does not engage in continuous coaching
 - Does not provide learning opportunities for subordinates
 - Does not engage in goal-setting with subordinates
 - Does not teach new approaches to subordinates
 - Does not identify training needs
 - Does not ensure training occurs in response to subordinate needs
 - Does not evaluate effectiveness of training programs
- Fairness
 - Shows favoritism/nepotism/preference for special interest groups
 - Misuses power
 - Projects a false image of fairness

Poor decision making/problem solving

- Poor approach
 - Does not have a process or methodology for evaluating alternatives
 - Does not consider all of the relevant information
 - Does not forecast problems/recognize problematic situations
 - Does not base conclusions on facts
 - Does not know which pieces of information are most relevant
 - Improperly interprets data
 - Does not seek input from others when warranted
 - Does not generate creative approaches

- Does not think outside typical parameters
- Hesitates to make difficult decisions
- Relies on management or others to make decision/solve problem
- Rejects new or non-traditional ideas without considering them
- Does not value differences in opinions or approaches
- Poor outcome
 - Does not generate timely decisions/solutions
 - Makes decisions/offers solutions based on personal interests
 - Makes poor decisions
 - Makes incorrect inferences

Poor planning/organizing

- Preparation
 - Does not anticipate changes in demands/make contingency plans
 - Does not prioritize
 - Does not think strategically
 - Does not map out a concrete plan (with timetable if appropriate) before acting
 - Does not gather the needed information
 - Does not choose appropriate goals/objectives
 - Lacks vision of necessary work requirements
 - Over-commits to projects/work
 - Does not set realistic time frames for task completion (under- or over-estimation)
 - Makes last minute requests of others despite having advanced notice
- Oversight
 - Does not control costs/adhere to budget
 - Neglects to communicate changes in schedule/scope/progress to others
 - Does not modify goals as changing demands necessitate
- Organization
 - Does not assemble/organize needed resources
 - Does not develop, use, or keep up-to-date with systems/methods for tracking tasks and information (e.g., calendars, to-do lists)
 - Keeps an unorganized work space
 - Keeps inaccurate, incomplete, or unorganized records/files
 - Falls behind with administrative tasks
 - Has difficulty with scheduling
 - Often loses things

Unethical Behavior

- Takes/uses company property without right or permission
 - Pilfers office supplies
 - Has unexplained losses in money/merchandise/materials
 - Misuses expense account
 - Misuses employee discount or other benefits

- Gives away goods/services
 - Uses company property for personal use
- Sabotages production/progress
- Destroys/tampers with equipment, materials, or information
 - Falsifies records
 - Falsifies receipts for reimbursement
- Vandalizes office property
- Engages in technology-related deviance
 - Sabotages computer programs
 - Steals proprietary information
 - Executes viruses
 - Hacks into private computer space
 - Downloads/views websites with pornographic or other inappropriate material
- Cheats customers/clients or coworkers
- Covers up mistakes
- Underreports absenteeism or lies about reasons for absence
- Anti-organization behaviors/Disrespects organization
 - Reveals confidential information to outsiders
 - Does not defend organization to outsiders
 - Does not exhibit pride in promoting/representing the organization to outsiders
 - Displays inappropriate conduct in public that detracts from organizational image
 - Engages in inappropriate gift/contribution giving/receiving
 - Sacrifices company image for personal goals
 - Misrepresents/distorts information about the organization
 - Wastes resources
 - Litters in work environment
 - Talks negatively in public about organization
 - Breaks rules/regulations or does not comply with organizational policies/procedures
 - Outwardly questions/criticizes the organization's policies/procedures
 - Outwardly questions/criticizes the organization's higher authorities

Uncommitted/unaware

- Uncommitted behavior
 - Does not remain committed to organization under adverse conditions
 - Does not support the organization's mission
 - Does not think about organization's best interests
 - Does not look out for threats and opportunities in the environment
 - Does not conform to the organizational culture/norms
- Unaware
 - Does not maintain awareness of industry trends
 - Does not maintain awareness of competitors

- Does not stay informed about issues relevant to organization's success
- Does not display organizational savvy
- Does not display political acumen
 - Does not understand political relationships/power distribution
 - Does not leverage relationships/network
- Does not maintain awareness of the broader business strategy and goals

APPENDIX G: Post-SME Model

ANTI-TASK BEHAVIOR: This domain encompasses behaviors that detract from task success. It contains behaviors related to unacceptable output and dysfunctional approaches in the cognitive processes associated with task performance. It also includes unsafe performance as well as behaviors related to the management of stress that accompanies the task. This domain applies to one's performance of the core tasks associated with his/her particular job.

Poor decision-making/problem-solving – This content area is concerned with poor strategies or approaches to making decisions and solving problems, which result in untimely, inappropriate, erroneous, or unfair decisions/solutions. This area includes deficiencies in gathering and utilizing information as well as the avoidance of these processes.

- Inadequate information gathering and analyzing – This dimension addresses an employee's failure to gather and utilize appropriate information and/or the reliance on inappropriate information when trying to make decisions or solve problems. It also includes behaviors related to an employee's faulty (e.g., erroneous, hasty, limited) information consideration.
 - Does not gather relevant information AND/OR utilizes limited and/or irrelevant information.
 - Does not seek necessary input from others AND/OR independently makes decisions when collaboration is optimal.
 - Does not seek facts AND/OR allows bias/subjectivity to influence conclusions.
 - Fails to consider a range of alternatives AND/OR selects the first feasible option when other options exist.
 - Fails to interpret data properly AND/OR miscalculates or makes erroneous inferences/conclusions.
 - Does not generate innovative solutions AND/OR thinks about problems within typical parameters.
- Avoidance of decision-making/problem-solving – This dimension addresses an employee's passive or active avoidance of decision-making or problem-solving responsibility. It includes an employee's neglect in terms of problem awareness as well as his/her resistance and reliance on others.
 - Does not forecast problem situations AND/OR ignores warning signs of impending problem situations.
 - Fails to make difficult decisions within the needed time period AND/OR hesitates in making difficult decisions until the opportunity to act has passed.
 - Does not take initiative in problem-solving and decision-making AND/OR relies on managers/others to solve problems and make decisions.

Deficient planning and organizing – This content area is concerned with inadequate

planning and organizing behaviors, which result in haphazard, misdirected, or unstructured work. This area includes deficiencies in the preparation, monitoring, and organization of work and its related resources.

- Inadequate preparation – This dimension addresses an employee’s failure to prepare for the task, his/her short-term thinking, and erroneous approach when beginning new tasks.
 - Does not map out a concrete plan before acting AND/OR works in a nonlinear manner when a stepwise approach is optimal.
 - Does not prioritize tasks AND/OR plans to address non-essential tasks before tackling more critical tasks.
 - Does not make contingency plans AND/OR assumes constancy when planning within unstable conditions.
 - Fails to set appropriate goals/budgets/timelines AND/OR over- or under-estimates the commitment, money, or time required.
 - Does not specify/locate/arrange necessary resources AND/OR makes last-minute requests of others when prior notice was possible.
- Lack of oversight – This dimension addresses an employee’s failure to monitor and adapt financial/material/human resources throughout the course of the project and his/her irresponsible/inflexible approach to project control.
 - Does not adhere to a budget AND/OR incurs unanticipated expenses throughout the project course.
 - Does not track the amount of material resources needed and used AND/OR wastes or scrounges for resources throughout the project course.
 - Does not keep others informed about the project status in a timely manner AND/OR misleads others regarding progress/schedule/scope.
 - Does not adapt plans to accommodate changing demands AND/OR adheres to unrealistic/inappropriate goals throughout the project course.
- Disorganization – This dimension addresses an employee’s failure to organize task-relevant activities and materials as well as his/her difficulty with scheduling, paperwork, and maintenance of important information and materials.
 - Does not develop/use/maintain methods for tracking tasks and information (e.g., calendars, to-do lists) AND/OR has difficulty scheduling meetings and task-relevant activities.
 - Does not maintain an organized workspace AND/OR often loses important documents/materials/information.
 - Does not stay current with administrative tasks AND/OR keeps inaccurate/incomplete/unorganized records or files.

Unacceptable task performance – This content area is concerned with unacceptable output in regards to core task performance, which results in the evaluation of the output as inaccurate, incomplete, improper, or poorly done. This area includes deficiencies in quality, quantity, speed, and completeness of the products/services with which one works. It also includes the lack of safety behavior in completing tasks as well as incompetence due to knowledge/skill deficiencies.

- Poor work quality – This dimension addresses an employee’s failure to meet standards of quality and his/her production of poorly done work.

- Fails to attend to important details AND/OR produces work containing errors/inaccuracies/inconsistencies.
- Does not comply with instructions/plans AND/OR produces the wrong product/service.
- Does not maintain top quality standards AND/OR produces low-quality work/service.
- **Low productivity** – This dimension addresses an employee’s failure to meet standards of quantity and his/her low productivity. It includes the deficient amount of work produced as well as the failure to complete work. It also includes behaviors related to ineffective time management and the production of slow/untimely work.
 - Does not reach numerical targets AND/OR produces less (or more) than the prescribed amount of products/services.
 - Does not follow through with products/services to completion AND/OR submits unfinished work or leaves work for others to finish.
 - Fails to remain task-focused AND/OR allows distractions to interfere with production.
 - Does not pick up new tasks quickly AND/OR requires repeated instruction.
 - Fails to meet deadlines AND/OR continually requests timeline extensions beyond the agreed-upon date.
 - Fails to leverage technology to save time AND/OR chooses inefficient work methods.
 - Does not initiate work immediately AND/OR procrastinates or works long hours just to meet minimum standards.
- **Unsafe work** – This dimension addresses an employee’s neglect of safety precautions during task completion and the execution of unsafe behavior.
 - Does not attend safety/security training AND/OR expresses a lack of concern for learning safe work behavior.
 - Fails to follow preventative measures AND/OR causes on-the job injuries/accidents due to short-cuts/violation of safety rules.
 - Does not monitor the environment for danger AND/OR subjects others to dangerous conditions.
- **Knowledge/skill deficiency** – This dimension addresses an employee’s lack of job proficiency. Specifically, it refers to a lack of up-to-date knowledge or skills deemed essential for task completion, which includes knowledge or skills related to required technology. It also includes behaviors related to an employee’s recognition of this deficiency.
 - Does not remain current in job-relevant knowledge or skills AND/OR relies on knowledge or skills which are incompatible/inappropriate for the job tasks.
 - Does not maintain adequate technological knowledge/skills needed for job tasks AND/OR utilizes defunct tools/technology.
 - Does not ask for help when a deficiency is recognized AND/OR tries to conceal the deficiency.
 - Does not have a realistic sense of own abilities/limitations AND/OR acts overconfident or insecure when beginning a task.

Dysfunctional stress reactions – This content area is concerned with inappropriate

reactions to stress or crises when dealing with one's job tasks, which can result in ineffective or uncoordinated performance of the task, as well as unproductive levels of anxiety and panic. This area includes deficiencies in reactions to stress as well as the failure to adapt to and manage stressful conditions over the long term.

- **Passive responses** – This dimension addresses an employee's dysfunctional, passive response to stress or crises. It includes the avoidance and withdrawal from the task.
 - Fails to acknowledge the stress-inducing situation AND/OR shuts down or gives up in the face of stress.
 - Fails to generate solutions for the stress-inducing situation AND/OR passes the problem on to manager or others for assistance
- **Active responses** – This dimension addresses an employee's dysfunctional, active response to stress or crises. It includes the failure to remain calm in task situations as well as the insensitive and provoking behavior towards others in the task environment.
 - Fails to remain calm AND/OR incites stress and panic in others.
 - Does not adhere to safety precautions AND/OR becomes careless or clumsy in stressful situations.
 - Does not manage physical anxiety AND/OR displays distracting nervous habits such as pencil-tapping or throat-clearing.
 - Fails to manage emotional displays AND/OR reacts with excessive emotional outbursts.
 - Fails to compartmentalize stress AND/OR treats others in an insensitive manner during stressful situations.
- **Low stress resilience** – This dimension addresses an employee's general lack of adaptability and low resistance to stressful working conditions. It addresses one's general failure to handle the multiple demands and changes that occur during the course of task completion.
 - Does not tolerate deviations from routine/unexpected situations AND/OR unreasonably objects to last-minute changes in plans.
 - Fails to balance multiple demands AND/OR refuses additional challenges when one problem occurs.
 - Does not adapt to changes in the physical environment (e.g., temperature, noise) AND/OR complains or quits working when environmental stressors arise.

ANTI-INTERACTION BEHAVIOR: This domain encompasses behaviors that detract from interpersonal success when dealing with others. The "others" may be coworkers, subordinates, superiors, clients, the general public, or other entities encountered on the job. This domain contains behaviors related to poor communication, a lack of teamwork (in formal or informal teams), and deficient leadership (in formal or informal positions of leadership). It also contains behaviors related to a lack of manners, ranging from uncivil to offensive. This domain applies to one's general approach in dealing with other people.

Poor communication – This content area is concerned with ineffective communication behaviors, which result in inappropriate, unintelligible, or unclear exchanges. This area involves one's inability to make oneself understood and includes deficiencies in the

spoken, written, and nonverbal exchange of messages.

- **Ineffective Oral Communication** – This dimension addresses an employee’s poor oral communication, ranging from informal workplace conversation to formal presentations. It refers specifically to the characteristics of speech and spoken interactions. It does not include other behaviors related to inappropriate content, withholding communication, and task-specific exchanges, as those behaviors are addressed elsewhere.
 - Fails to adapt tone/style of speech to the situation AND/OR speaks in an inappropriate or offensive manner.
 - Fails to adjust volume of speech based on distance of audience AND/OR speaks too loudly or quietly.
 - Fails to modify speed of speech AND/OR speaks too fast or too slow.
 - Fails to enunciate AND/OR mumbles.
 - Fails to use proper grammar AND/OR includes blatant grammatical errors and inappropriate use of slang or jargon.
 - Does not wait for the other person to finish speaking AND/OR interrupts or finishes the sentences of others.
 - Does not actively listen AND/OR produces responses that are incongruent to conversation.
 - Fails to be concise when speaking AND/OR speaks with redundancy/verbosity.
 - Does not provide appropriate context when speaking AND/OR makes inaccurate assumptions about the audience’s familiarity with the topic.
 - Does not display competence when speaking to large groups AND/OR acts nervous/unprepared in formal presentations.
- **Ineffective Written Communication** – This dimension addresses an employee’s poor written communication, including letters, emails, memos, reports, and other documentation. It refers specifically to the composition of the written document. It does not include other behaviors related to inappropriate content, withholding communication, and task-specific exchanges, as those behaviors are addressed elsewhere.
 - Fails to adapt tone/style to the situation AND/OR writes too formally or informally for the situation.
 - Fails to use proper grammar and care in writing AND/OR writes with grammatical or spelling errors, typos, or inappropriate slang or jargon.
 - Does not write legibly when needed AND/OR produces incomprehensible notes which require clarification.
 - Does not achieve economy in writing AND/OR writes excessive amounts.
 - Does not provide appropriate context AND/OR includes too little background or supporting material.
- **Inappropriate Nonverbal Communication** – This dimension addresses an employee’s poor nonverbal behavior, which includes the use of eyes, face, and body to transmit unintended, unfavorable, or uncomfortable messages.
 - Avoids eye contact AND/OR diverts gaze when communicating.
 - Does not maintain awareness of personal space AND/OR sits or speaks at an uncomfortable closeness.

- Does not tailor body language, facial expressions, and posture for the situation AND/OR moves/postures in ways which do not coincide with verbal communication or in ways which create an unfavorable impression.

Lack of team orientation – This content area is concerned with a general lack of team spirit, which results in the detraction from team performance. This area includes deficiencies in teambuilding (i.e., the selection and integration of team members) as well as behaviors that interfere with team functioning. It applies to behaviors evidenced during group work, which may be relevant regardless of whether the employee works with a formal or informal team.

- **Poor team building** – This dimension addresses an employee’s negative approach towards teamwork and the initial development of a team. It includes behaviors related to the joining and composition of the team. These behaviors may be performance-relevant when considering one’s approach to work in general, and may deserve attention regardless of whether or not the employee is formally responsible for team formation.

- Does not foster collaboration AND/OR works in isolation when it is more appropriate to work in a group/team.
- Does not integrate individual roles of others AND/OR considers the combination of individual outputs a substitute for teamwork.
- Does not include everyone with a legitimate stake in team goal AND/OR excludes people that should be involved.
- Fails to consider the balance of expertise/skill sets needed for the task AND/OR chooses to work with friends or to foster cliques instead of teams.
- Fails to create buy-in when composing a team AND/OR volunteers people without their prior knowledge.

- **Counterproductive team participation** – This dimension addresses an employee’s failure to cooperate with others on a group/team task. It includes self-centered behaviors along with other behaviors which detract from team cohesion and performance. These behaviors may be performance-relevant when considering one’s approach to work in general, and may deserve attention regardless of whether or not the employee is formally assigned to a structured team.

- Fails to contribute as a team member AND/OR relies on others to complete the team task.
- Does not utilize others’ strengths AND/OR downplays the knowledge, skills, or experience of others.
- Does not share responsibility with others AND/OR maintains inappropriate involvement in the tasks assigned to others.
- Does not solicit or accept ideas from others AND/OR consistently promotes own ideas as the best options.
- Does not help or give advice to others AND/OR puts personal interests/goals ahead of group interests/goals.
- Does not defend others when appropriate AND/OR competes with others in unproductive ways.
- Does not strive for team consensus AND/OR allows team to be controlled by one dominant member.

- Does not give credit where due AND/OR inappropriately claims responsibility for others' work.
- Does not accept responsibility for mistakes/failures as a unit AND/OR blames individuals for team errors.

Interpersonal Ineffectiveness – This content area is concerned with inappropriate interpersonal behavior, which results in awkward, offensive, or antagonizing interactions with others. This area includes deficiencies related to the treatment of others, the monitoring/control of one's impulses, and awareness of appropriate behavior. It includes behaviors that demonstrate disrespect, intolerance, and excessive emotionality as well as the general avoidance of interpersonal interactions. It applies to behaviors generally evidenced during ineffective workplace interactions.

- Disrespectful interactions – This dimension addresses an employee's lack of consideration and engagement in mildly harassing behavior towards others. It also addresses one's undesirable approach for handling conflict and the generally unfavorable nature of interpersonal interactions.
 - Does not treat others with congeniality AND/OR utilizes an argumentative style.
 - Does not display modesty AND/OR engages in excessive self-promotion or condescends.
 - Does not display patience AND/OR rushes interactions with others.
 - Does not deal with interpersonal conflict in a respectful manner AND/OR chooses unproductive ways of handling conflict such as giving others the silent treatment.
 - Does not respect the space and belongings of others AND/OR invades others' privacy.
 - Does not encourage others AND/OR insults/ridicules others and their ideas.
 - Does not respect others' successes AND/OR tries to spoil the image of others by highlighting negative aspects or minimizing positive aspects.
 - Fails to understand appropriate time/place for humor AND/OR makes jokes/quips at inappropriate times/places.
- Intolerant/maladaptive interactions – This dimension addresses an employee's lack of empathy, tolerance, and adaptability. It refers specifically to working with diverse others and situations.
 - Does not create an inclusive environment AND/OR treats people differently based on age, gender, race/ethnicity, religion, sexuality, or disability.
 - Does not display sensitivity towards people's differences AND/OR makes remarks or jokes about age, gender, race/ethnicity, religion, sexuality, or disability.
 - Does not make efforts to learn about cultural differences that impact work interactions AND/OR promotes own culture as the "right way."
 - Does not adapt to work with diverse personalities, organizational levels, and situations AND/OR relies on one interpersonal style despite the situation and particular people involved.
- Emotional interactions – This dimension addresses an employee's lack of emotional awareness and control and his/her undesirable reactions or expressions of

emotion. This dimension refers to one's *general* skill in managing emotional content – see the Dysfunctional Stress Reactions content area for behaviors specific to stress-induced responses.

- Fails to remain aware of own and others' emotions AND/OR ignores cues regarding own or others' emotional needs.
- Does not monitor situational tolerance for emotion AND/OR displays inappropriate expressions of positive or negative emotions.
- Fails to control mood fluctuations AND/OR allows mood to dictate behavior.
- Does not display emotional toughness AND/OR takes things personally.
- Does not admit frustration/anger AND/OR resorts to passive-aggressive expressions.
- Avoidance of interactions – This dimension addresses an employee's general resistance to interpersonal interactions despite the business necessity to do so.
 - Does not engage in friendly workplace interactions when appropriate AND/OR struggles with informal "small talk."
 - Does not engage in direct interactions AND/OR only uses email, even when telephone or face-to-face encounters are more appropriate.
 - Fails to participate in meetings or other group interactions AND/OR limits his/her interactions with others due to the group setting.

Deficient leadership – This content area is concerned with a general lack of leadership-relevant behavior, which results in resistance to change, ineffective unit functioning, and a lack of goal-directed activity. This area involves an employee's low impact on others and includes deficiencies in assertiveness, direction, evaluation, and development in one's work unit. Some of these behaviors may be performance-relevant when considering one's approach to work in general, and may deserve attention regardless of whether or not the employee occupies a formal leadership role, whereas other behaviors apply more specifically to managers.

- Lack of assertiveness/influence – This dimension addresses an employee's failure to assert oneself and take charge. It also includes having a passive approach when dealing with others and with business in general.
 - Does not take reasonable risks AND/OR views all risks negatively.
 - Fails to deliver bad news or unpopular opinions AND/OR tells people what they want to hear when the truth is important.
 - Does not accept confrontation AND/OR passes conflicts on to others.
 - Does not command respect/authority from others AND/OR accepts others' disrespectful behavior.
 - Does not know limits of responsibility AND/OR continually apologizes for things outside his/her control.
 - Fails to hold others (i.e., not just subordinates) accountable when appropriate AND/OR accepts too many excuses.
 - Does not lead by example AND/OR makes excuses for own behavior while holding others to different standards.
 - Does not inspire others to improve AND/OR reinforces the status quo.
 - Does not promote strategic vision AND/OR relies only on short-term thinking.
 - Fails to persuade others when necessary AND/OR presents weak/ineffective

arguments.

- Insufficient employee direction – This dimension addresses an employee’s poor delegation and ineffective approach to motivation and direction.
 - Does not provide clear instruction/guidance AND/OR deploys unprepared employees.
 - Does not motivate others to do their jobs AND/OR uses intimidation/coercion to get things done.
 - Fails to convey/use performance standards AND/OR holds inconsistent standards.
 - Does not relinquish needed decision-making authority to deserving employees AND/OR micromanages employees’ work.
 - Does not consider the match between employee interests/abilities and the tasks AND/OR makes poor staffing/placement decisions.
 - Does not adapt leadership style to the situation or particular employee AND/OR relies on one inflexible leadership style.
 - Does not articulate unit-level goals AND/OR obscures the greater vision/purpose behind employees’ work.
- Deficient employee development – This dimension addresses an employee’s unsupportive behavior regarding employee development. It includes the failure to provide feedback and developmental opportunities as well as a general lack of support for subordinates.
 - Does not foster independence AND/OR dissuades employees from trying new things.
 - Does not value employees AND/OR underestimates employees’ competence/contribution.
 - Does not display personal concern for employees AND/OR treats employees with indifference.
 - Fails to monitor employee/unit progress (e.g., through goal-setting and tracking) AND/OR shirks accountability for unit.
 - Fails to adequately evaluate/discuss employee performance AND/OR provides limited/infrequent performance evaluation and coaching.
 - Fails to provide timely and specific constructive feedback AND/OR criticizes employees in a destructive manner.
 - Does not create a clear/fair system of employee accountability AND/OR delivers inappropriate rewards or punishments.
 - Does not create opportunities for employee job enrichment AND/OR confines employees to same task set.
 - Does not identify training needs, ensure training program development, or evaluate results of training AND/OR discourages participation in informal or formal training programs.

ANTI-JOB/WORK BEHAVIOR: This domain encompasses behaviors that detract from job/work/organizational success. It contains behaviors related to an anti-service approach, as well as behaviors characterized as immoral/deviant. It also includes behaviors related to a lack of professionalism and undesirable work ethic. This domain applies to one’s approach to the job, organization, or work in

general.

Unethical Behavior – This content area is concerned with unethical behavior, which results in inappropriate, disrespectful, and unlawful behavior. This area includes deficiencies in protecting and respecting the organization’s property, equipment, production/services, information, people, and reputation.

- Deviance toward company property and resources – This dimension addresses an employee’s failure to maintain the integrity of the organization’s property and information. It includes misconduct relating to physical, material, and financial resources.
 - Does not treat office supplies as an expense AND/OR wastes or pilfers office supplies.
 - Fails to be accountable for material resources AND/OR has unexplained losses in money/merchandise/materials.
 - Does not adhere to policies regarding organizational resources AND/OR misuses expense account, employee discounts, or other benefits.
 - Does not value conditions of the working environment AND/OR vandalizes or litters in the working environment.
 - Does not protect the value of office equipment, materials, or information AND/OR destroys or tampers with equipment, materials, or information.
 - Does not maintain the integrity of company documents AND/OR falsifies records or receipts for reimbursement.
- Deviance toward production/progress – This dimension addresses an employee’s failure to maintain the integrity of the organization’s production or progress. It involves behavior related to the hindrance of production or sale of the organization’s goods or services.
 - Does not facilitate organizational production/progress AND/OR sabotages production/progress.
 - Does not charge customers/clients appropriately AND/OR gives away products or services without permission.
- Deviance toward technology – This dimension addresses an employee’s failure to maintain the integrity of the organization’s technology. It includes inappropriate usage of software, hardware, the organization’s network, and the Internet.
 - Does not protect company technology AND/OR sabotages computer programs or executes viruses.
 - Does not respect policies regarding appropriate Internet use AND/OR downloads or views websites with pornographic or other inappropriate material.
 - Does not adhere to ethical computer usage AND/OR steals proprietary information or hacks into private computer space.
- Deviance toward others – This dimension addresses an employee’s failure to show integrity when dealing with others. These “others” may be coworkers, subordinates, superiors, clients, the general public, or other entities encountered on the job. [Behaviors in this dimension are distinguished from those in other dimensions containing interpersonal content by the immoral nature of behaviors listed here.]
 - Does not look out for the best interests of clients/coworkers AND/OR cheats

clients/coworkers.

- Fails to keep clients/coworkers informed AND/OR withholds needed information or presents misleading information.
- Does not report important information AND/OR covers up mistakes.
- Does not abide by policies regarding time-off of work AND/OR underreports or lies about reasons for absence.
- Does not comply with organizational policies and procedures AND/OR breaks rules and regulations.
- Does not make fair decisions AND/OR shows favoritism, nepotism, or special preference for certain people/groups.
- Fails to make reasonable requests of others AND/OR misuses power.
- Does not treat others with honesty and integrity AND/OR projects a false image of fairness.
- Does not move past others' transgressions or errors AND/OR tries to retaliate against others.
- Does not approach conflict with others in an appropriate way AND/OR threatens others or instigates aggressive or violent interactions.
- Deviance toward company image/reputation – This dimension addresses an employee's failure to maintain the integrity of the organization's external image/reputation. It includes the failure to respect, defend, and promote the organization to outsiders.
 - Does not protect organization to outsiders AND/OR reveals confidential information to outsiders.
 - Does not exhibit pride in representing the organization to outsiders AND/OR displays inappropriate conduct in public that detracts from organizational image.
 - Does not promote the organization to outsiders AND/OR openly talks negatively about the organization.
 - Does not maintain appropriate conduct in political relationships AND/OR gives or receives inappropriate gifts or contributions.
 - Does not uphold company image as a priority AND/OR sacrifices company image for personal goals.
 - Does not behave with honesty when representing the organization AND/OR distorts information or lies about the organization.

Unprofessional Behavior – This content area is concerned with unprofessional workplace behavior, which results in an employee's inappropriate and undesirable presentation of him/herself. This area includes deficiencies in the way one interacts with others in the workplace. It also includes deficiencies in the ways in which an employee approaches work in general, the specific organization, and broader business/industry awareness.

- Unprofessional appearance – This dimension addresses an employee's failure to make a good impression based on the physical way in which he/she presents to others.
 - Does not maintain personal appearance/hygiene AND/OR makes inappropriate choices regarding hair, facial hair, or scent.
 - Does not adhere to dress code AND/OR dresses inappropriately for the

situation.

- Unprofessional workplace interactions – This dimension addresses an employee’s unprofessional behavior when interacting with others, whether this be coworkers, clients, subordinates, authority figures, or people external to the organization. It includes behaviors which demonstrate a lack of maturity, refinement, and workplace savvy. [Behaviors in this dimension are distinguished from those in other dimensions containing interpersonal content by the unacceptable nature of these behaviors for a work environment.]
 - Does not confront people or situations to find the truth AND/OR engages in excessive office gossip, rumor-spreading, or fabrication of stories.
 - Does not engage in appropriate physical actions AND/OR uses obscene gestures or inappropriate bodily contact.
 - Does not respect the organization’s higher authorities AND/OR outwardly questions or criticizes the organization’s higher authorities.
 - Does not maintain physical readiness to work AND/OR comes to work hung over, exhausted, or under the influence of alcohol or drugs.
 - Does not use appropriate lines of authority AND/OR skips over immediate supervisor to approach a higher authority.
 - Does not maintain awareness of appropriate information-sharing AND/OR engages in inappropriate self-disclosure or expressions of opinions/information.
 - Does not adhere to appropriate content for the workplace communications AND/OR uses inappropriate language (e.g., profanity, offensive slang).
 - Does not adhere to policies regarding appropriate email content AND/OR creates or forwards inappropriate emails.
 - Does not treat the workplace with appropriate gravity AND/OR plays pranks in the workplace.
 - Does not use proper etiquette for workplace technology AND/OR inappropriately uses cell phones, pagers, laptops, or Blackberries during meetings or other business interactions.
- Poor work ethic – This dimension addresses an employee’s undesirable work ethic. It includes behaviors related to poor attitude, poor work/life balance, complacency, and unreliability. It also includes behaviors related to the avoidance of work and time spent off-task.
 - Does not maintain a positive attitude towards work AND/OR allows low morale to negatively influence others.
 - Does not remain engaged by work AND/OR displays detachment or low enthusiasm/personal involvement.
 - Does not maintain balance between work and personal life AND/OR allows trivial non-work demands/concerns to interfere with work.
 - Does not show initiative AND/OR waits to be asked or instructed.
 - Does not go out of one’s way to meet client needs AND/OR does the bare minimum to meet client needs.
 - Does not seek ways to improve own, group, or organizational functioning AND/OR adheres to inefficient methods.
 - Does not seek new activities during down time AND/OR attends to non-work

concerns during down time.

- Does not seek feedback AND/OR ignores suggestions for improvement.
- Does not show interest in career development AND/OR avoids formal or informal training and self-development activities.
- Does not challenge oneself with developmental plans AND/OR chooses easily reached milestones and goals.
- Does not tolerate difficult working conditions AND/OR voices persistent complaints.
- Does not accept responsibility for work AND/OR makes excessive excuses.
- Does not promote own abilities AND/OR broadcasts own limitations.
- Does not work hard AND/OR relies on politics to get ahead.
- Displays a lack of urgency when dealing with clients, coworkers, superiors, and others AND/OR is slow to meet the needs of others.
- Does not accept criticism AND/OR reacts poorly to rejection of ideas.
- Does not stick to commitments AND/OR misses important meetings.
- Does not rearrange schedule to accommodate demands AND/OR arrives late or leaves early.
- Does not give adequate notice to management about upcoming time off AND/OR is frequently absent.
- Does not ensure work is covered when absent AND/OR assumes that everything is covered when absent from work.
- Does not accept the work assigned AND/OR turns down work, withdraws from work, or feigns ignorance to get out of work.
- Does not accept new technology AND/OR resists technology use.
- Does not monitor time off-task AND/OR takes long and frequent breaks.
- Does not maintain task focus AND/OR reads non-job-relevant materials (newspapers, magazines, books); engages in cyberslacking (uses Internet for entertainment or non-work purposes); engages in excessive personal emailing; conducts personal business; or talks to coworkers excessively.
- Poor business acumen – This dimension addresses an employee’s failure to portray business acumen.
 - Does not maintain awareness of competitors and industry trends AND/OR attends to individual success rather than business success.
 - Does not leverage relationships/network AND/OR rejects others’ attempts at networking/relationship building.
 - Does not maintain awareness of power asymmetries AND/OR allows impulses to override political sensitivity.
 - Does not display business savvy AND/OR projects ignorance or inexperience.
- Low commitment to organization – This dimension addresses an employee’s failure to demonstrate loyalty and dedication to the organization, its mission, and its culture.
 - Does not remain committed to organization under adverse conditions AND/OR displays pessimism with respect to the organization’s outlook.
 - Does not support the organization’s mission AND/OR expresses disagreement

with the organization's mission.

- Does not think about the organization's best interests by being aware of threats and opportunities AND/OR separates personal interests from those of the organization.
- Does not conform to the organizational culture/norms AND/OR rebels against the organizational culture/norms

APPENDIX H: Links Between Applied Competencies and Substandard Performance Dimensions

		Applied Model Competencies																											
		1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26		
Substandard Performance Model's Dimensions	1	X				X																							
	2		X																										
	3																												
	4				X															X									
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35																										

APPENDIX I: Post-Comparison and Expert Feedback Model

ANTI-TASK BEHAVIOR: This domain encompasses behaviors that detract from task success. It contains behaviors related to unacceptable output, poor judgment, and dysfunctional approaches in the cognitive processes associated with task performance. It also includes unsafe performance as well as behaviors related to the management of stress that accompanies the task. This domain applies to one's performance of the core tasks associated with his/her particular job.

Poor decision-making/problem-solving – This content area is concerned with poor approaches to making decisions and solving problems, which result in untimely, inappropriate, erroneous, or unfair decisions/solutions. This area includes deficiencies in gathering/utilizing information and choosing among alternatives, as well as the avoidance of these processes.

- Inadequate information analysis – This dimension addresses an employee's failure to collect, integrate, and utilize appropriate information and/or the reliance on inappropriate information when making decisions or solving problems. It also includes behaviors related to an employee's inadequate understanding of the problem situation and poor idea generation.
 - Does not gather relevant information AND/OR utilizes limited and/or irrelevant information.
 - Does not seek necessary input from others AND/OR independently approaches problems when collaboration is optimal.
 - Fails to interpret data properly AND/OR miscalculates or makes analytic errors.
 - Does not synthesize information from a variety of sources AND/OR thinks about problems from a single point of view.
 - Fails to determine the cause of the problem AND/OR tries to cover up (rather than correct) the problem by treating symptoms rather than causes.
 - Does not generate innovative solutions AND/OR thinks about problems within typical parameters.
 - Does not moderate one's creative process AND/OR experiments with new ideas and approaches beyond reasonable limits.
- Poor judgment – This dimension addresses an employee's failure to make sound decisions. It includes the use of flawed reasoning or the absence of logic when choosing a course of action.
 - Does not give precedence to facts when making decisions AND/OR allows bias/subjectivity to influence conclusions.
 - Does not arrive at optimal solutions AND/OR chooses inappropriate or ineffective courses of action.

- Fails to consider a range of alternatives AND/OR selects the first option when other options exist.
- Fails to consider the pros, cons, and tradeoffs of one's decision AND/OR hastily forges ahead with a course of action without considering implications.
- Avoidance of decision-making/problem-solving – This dimension addresses an employee's passive or active avoidance of decision-making or problem-solving responsibility. It includes an employee's neglect in terms of problem foresight as well as his/her resistance and reliance on others.
 - Fails to make difficult decisions within the needed time period AND/OR hesitates in making difficult decisions until the opportunity to act has passed.
 - Does not deal with ambiguity in problem situations AND/OR accepts situation complexity as an obstacle.
 - Does not forecast problem situations AND/OR ignores warning signs of impending problem situations.
 - Does not take initiative in problem-solving and decision-making AND/OR relies on managers/others to solve problems and make decisions.

Deficient planning and organizing – This content area is concerned with inadequate planning and organizing behaviors, which result in haphazard, misdirected, or unstructured work. This area includes deficiencies in the preparation, monitoring, and organization of work and its related resources.

- Inadequate preparation – This dimension addresses an employee's failure to prepare for the task, his/her short-term thinking, and erroneous approach when beginning new tasks.
 - Does not map out a concrete plan before acting AND/OR works in a nonlinear manner when a stepwise approach is optimal.
 - Does not ask questions when unclear on direction AND/OR begins task with poor understanding of objective or specifications.
 - Does not prioritize tasks AND/OR plans to address non-essential tasks before tackling more critical tasks.
 - Does not make contingency plans AND/OR assumes constancy when planning within unstable conditions.
 - Fails to set appropriate budgets/timelines AND/OR over- or under-estimates the money or time required.
 - Does not specify/locate/arrange necessary resources AND/OR makes last-minute requests of others when prior notice was possible.
- Lack of oversight – This dimension addresses an employee's failure to monitor and adapt financial/material/human resources throughout the course of the project and his/her irresponsible/inflexible approach to project control.
 - Does not adhere to a budget AND/OR incurs unanticipated expenses throughout the project course.
 - Does not track the amount of material resources needed and used AND/OR wastes or scrounges for resources throughout the project course.

- Does not keep others informed about the project status in a timely manner AND/OR misleads others regarding progress/schedule/scope.
- Does not adapt plans to accommodate changing demands AND/OR adheres to unrealistic/inappropriate goals throughout the project course.
- Does not communicate process breakdowns AND/OR displays a lack of concern for process awareness/improvement.
- Disorganization – This dimension addresses an employee’s failure to organize task-relevant activities and materials as well as his/her difficulty with scheduling, paperwork, and maintenance of important information and materials.
 - Does not develop/use/maintain methods for tracking tasks and information (e.g., calendars, to-do lists) AND/OR has difficulty scheduling meetings and task-relevant activities.
 - Does not maintain an organized workspace AND/OR often loses important documents/materials/information.
 - Does not stay current with administrative tasks AND/OR keeps inaccurate/incomplete/unorganized records or files.

Unacceptable task performance – This content area is concerned with unacceptable output in regards to core task performance, which results in the evaluation of the output as inaccurate, incomplete, improper, or poorly done. This area includes deficiencies in quality, quantity, speed, and completeness of the products/services with which one works. It also includes the lack of safety behavior in completing tasks as well as incompetence due to knowledge/skill deficiencies.

- Poor work quality – This dimension addresses an employee’s failure to meet standards of quality and his/her production of poorly done work.
 - Fails to attend to important details AND/OR produces work containing errors/inaccuracies/inconsistencies.
 - Does not comply with instructions/plans AND/OR produces the wrong product/service.
 - Does not maintain top quality standards AND/OR produces low-quality work/service.
- Low productivity/work speed – This dimension addresses an employee’s failure to meet standards of quantity and his/her low productivity. It includes the deficient amount of work produced as well as the failure to complete work. It also includes behaviors related to ineffective time management and the production of slow/untimely work.
 - Does not reach numerical targets AND/OR produces less (or more) than the prescribed amount of products/services.
 - Does not follow through with products/services to completion AND/OR submits unfinished work or leaves work for others to finish.
 - Fails to remain task-focused AND/OR allows minor obstacles or distractions to interfere with work.
 - Does not pick up new tasks quickly AND/OR requires repeated instruction.
 - Fails to meet deadlines AND/OR continually requests timeline extensions beyond the agreed-upon date.

- Fails to leverage technology to save time AND/OR chooses inefficient work methods (e.g., walks around building instead of emailing).
- Does not initiate work immediately AND/OR procrastinates.
- Fails to maintain adequate work pace AND/OR works long hours just to meet minimum standards.
- Unsafe work – This dimension addresses an employee’s neglect of safety precautions during task completion and the execution of unsafe behavior.
 - Does not attend safety/security training AND/OR expresses a lack of concern for learning safe work behavior.
 - Fails to follow preventative measures AND/OR causes on-the job injuries/accidents due to short-cuts/violation of safety rules.
 - Does not monitor the environment for danger AND/OR subjects others to dangerous conditions.
- Knowledge/skill deficiency – This dimension addresses an employee’s lack of job proficiency. Specifically, it refers to a lack of up-to-date knowledge or skills deemed essential for task completion, which includes knowledge or skills related to required technology and specific methods of work. It also includes behaviors related to an employee’s recognition of this deficiency.
 - Does not remain current in job-relevant knowledge or skills AND/OR relies on knowledge or skills which are incompatible/inappropriate for the job tasks.
 - Does not maintain up-to-date technical knowledge/skills needed for job tasks AND/OR utilizes defunct tools/technology.
 - Does not follow specific task- or equipment-related methods/procedures taught by the organization AND/OR ignores training and devises inappropriate methods/procedures for task completion or equipment use.
 - Does not ask for help when a deficiency is recognized AND/OR tries to conceal the deficiency.
 - Does not have a realistic sense of own abilities/limitations AND/OR acts overconfident or insecure when beginning a task.

Dysfunctional stress reactions – This content area is concerned with inappropriate reactions to stress or crises when dealing with one’s job tasks, which can result in ineffective or uncoordinated performance of the task, as well as unproductive levels of anxiety and panic. This area includes deficiencies in reactions to stress as well as the failure to adapt to and manage stressful conditions over the long term.

- Dysfunctional passive responses – This dimension addresses an employee’s dysfunctional, passive response to stress or crises. It includes the avoidance and withdrawal from the task.
 - Fails to acknowledge the stress-inducing situation AND/OR shuts down or gives up in the face of stress.
 - Fails to generate solutions for the stress-inducing situation AND/OR passes the problem on to manager or others for assistance
- Dysfunctional active responses – This dimension addresses an employee’s dysfunctional, active response to stress or crises. It includes the failure to remain calm

in task situations as well as the insensitive and provoking behavior towards others in the task environment.

- Fails to remain calm AND/OR incites stress and panic in others.
 - Does not adhere to safety precautions AND/OR becomes careless or clumsy in stressful situations.
 - Does not manage physical anxiety AND/OR displays distracting nervous habits such as pencil-tapping or throat-clearing.
 - Fails to manage emotional displays AND/OR reacts with excessive emotional outbursts.
 - Fails to compartmentalize stress AND/OR treats others in an insensitive manner during stressful situations.
- Low stress resilience – This dimension addresses an employee’s general lack of adaptability and low resistance to stressful working conditions. It addresses one’s general failure to handle the multiple demands and changes that occur during the course of task completion.
 - Does not tolerate deviations from routine/unexpected situations AND/OR unreasonably objects to last-minute changes in plans.
 - Fails to balance multiple demands AND/OR refuses additional challenges when one problem occurs.
 - Does not adapt to changes in the physical environment (e.g., temperature, noise) AND/OR complains or quits working when environmental stressors arise.

ANTI-INTERACTION BEHAVIOR: This domain encompasses behaviors that detract from interpersonal success when dealing with others. The “others” may be coworkers, subordinates, superiors, clients, the general public, or other entities encountered on the job. This domain contains behaviors related to poor communication, a lack of teamwork (in formal or informal teams), and deficient leadership (in formal or informal positions of leadership). It also contains behaviors related to a lack of manners, ranging from uncivil to offensive. This domain applies to one’s general approach in dealing with other people.

Poor communication – This content area is concerned with ineffective communication behaviors, which result in inappropriate, unintelligible, or unclear exchanges. This area involves one’s inability to make oneself understood and includes deficiencies in the spoken, written, and nonverbal exchange of messages.

- Ineffective Oral Communication – This dimension addresses an employee’s poor oral communication, ranging from informal, one-on-one conversations to formal group presentations. It refers specifically to the characteristics of speech and spoken interactions, including poor listening behavior. It does not include other behaviors related to inappropriate content, withholding communication, and task-specific exchanges, as those behaviors are addressed elsewhere.
 - Fails to adapt tone/style of speech to the situation or audience AND/OR speaks in an inappropriate or offensive manner or at an inappropriate level for the situation or audience.
 - Fails to adjust volume of speech based on distance of audience AND/OR speaks too loudly or quietly.

- Fails to modify speed of speech AND/OR speaks too fast or too slow.
- Fails to enunciate AND/OR mumbles.
- Fails to use proper grammar or vocabulary AND/OR includes blatant grammatical errors and inappropriate use of slang or jargon.
- Does not wait for the other person to finish speaking AND/OR interrupts or finishes the sentences of others.
- Does not actively listen AND/OR produces responses that are incongruent to conversation.
- Does not listen for tone or contextual cues AND/OR overlooks the feelings of others or the context of a verbal exchange.
- Does not convey the intended message with speech AND/OR talks around the main point.
- Does not logically organize speech AND/OR speaks with a haphazard flow.
- Fails to be concise when speaking AND/OR speaks with redundancy/verbosity.
- Does not provide appropriate context when speaking AND/OR makes inaccurate assumptions about the audience's familiarity with the topic.
- Does not choose the appropriate medium AND/OR chooses inappropriate means for the spoken communication (e.g., face-to-face, telephone, voice mail, video conference).
- Does not engage one's audience AND/OR speaks in a monotone manner (with no vocal inflection or enthusiasm).
- Does not display competence when speaking to large groups AND/OR acts nervous/unprepared in formal presentations.
- Does not maintain awareness of audience's reaction/reception to one's presentation AND/OR adheres to a script when adaptation is needed.
- Does not make effective use of audio/visual aids in presentations AND/OR uses audio/visual aids as a distraction rather than enhancement of communication.
- **Ineffective Written Communication** – This dimension addresses an employee's poor written communication, including letters, emails, memos, reports, and other documentation. It refers specifically to the composition of the written document. It does not include other behaviors related to inappropriate content, withholding communication, and task-specific exchanges, as those behaviors are addressed elsewhere.
 - Fails to adapt tone/style of writing to the situation or audience AND/OR writes too formally or informally, or at an inappropriate level, for the situation or audience.
 - Does not choose the appropriate medium AND/OR chooses inappropriate means for the written communication (e.g., email, letter, memo, fax, report).
 - Fails to use proper grammar, vocabulary, spelling, or punctuation in writing AND/OR writes with errors, typos, or inappropriate slang or jargon.

- Does not write legibly when needed AND/OR produces incomprehensible notes which require clarification.
- Does not achieve economy in writing AND/OR writes excessive amounts.
- Does not provide appropriate context AND/OR includes too little background or supporting material.
- Does not logically organize written material AND/OR writes with a haphazard flow.
- Does not convey the intended message in writing AND/OR writes around the main point.
- Inappropriate Nonverbal Communication – This dimension addresses an employee’s poor nonverbal behavior, which includes the use of eyes, face, and body to transmit unintended, unfavorable, or uncomfortable messages.
 - Does not maintain eye contact AND/OR diverts gaze when communicating.
 - Does not use appropriate gestures AND/OR gestures to the point of distraction or unnaturally refrains from gesturing.
 - Does not maintain awareness of personal space AND/OR sits or speaks at an uncomfortable closeness.
 - Does not tailor body language, facial expressions, and posture for the situation AND/OR moves/postures in ways which do not coincide with verbal communication or in ways which create an unfavorable impression.

Lack of team orientation – This content area is concerned with a general lack of team spirit, which results in the detraction from team performance. This area includes deficiencies in teambuilding (i.e., the selection and integration of team members) as well as behaviors that interfere with team functioning. It applies to behaviors evidenced during group work, which may be relevant regardless of whether the employee works with a formal or informal team.

- Poor team building – This dimension addresses an employee’s negative approach towards teamwork and the initial development of a team. It includes behaviors related to the joining and composition of the team. These behaviors may be performance-relevant when considering one’s approach to work in general, and may deserve attention regardless of whether or not the employee is formally responsible for team formation.
 - Does not foster collaboration AND/OR works in isolation when it is more appropriate to work in a group/team.
 - Does not integrate individual roles of others AND/OR considers the combination of individual outputs a substitute for teamwork.
 - Does not include everyone with a legitimate stake in team goal AND/OR excludes people that should be involved.
 - Fails to consider the balance of expertise/skill sets needed for the task AND/OR chooses to work with friends or to foster cliques instead of teams.
 - Fails to create buy-in when composing a team AND/OR volunteers people without their prior knowledge.

- Does not empower the team with needed authority, resources, or information AND/OR takes little responsibility for ensuring team progress.
- Counterproductive team participation – This dimension addresses an employee’s failure to cooperate with others on a group/team task. It includes self-centered behaviors along with other behaviors which detract from team cohesion and performance. These behaviors may be performance-relevant when considering one’s approach to work in general, and may deserve attention regardless of whether or not the employee is formally assigned to a structured team.
 - Fails to contribute as a team member AND/OR relies on others to complete the team task.
 - Does not utilize others’ strengths AND/OR downplays the knowledge, skills, or experience of others.
 - Does not share responsibility with others AND/OR maintains inappropriate involvement in the tasks assigned to others.
 - Does not solicit or accept ideas from others AND/OR consistently promotes own ideas as the best options.
 - Does not provide relevant information AND/OR withholds needed information from the group.
 - Does not help or give advice to others AND/OR puts personal interests/goals ahead of group interests/goals.
 - Does not defend others when appropriate AND/OR competes with others in unproductive ways.
 - Does not strive for team consensus AND/OR allows team to be controlled by one dominant member.
 - Does not give credit where due AND/OR inappropriately claims responsibility for others’ work.
 - Does not accept responsibility for mistakes/failures as a unit AND/OR blames individuals for team errors.

Interpersonal Ineffectiveness – This content area is concerned with inappropriate interpersonal behavior, which results in awkward, offensive, or antagonizing interactions with others. This area includes deficiencies related to the treatment of others, the monitoring/control of one’s impulses, and awareness of appropriate behavior. It includes behaviors that demonstrate disrespect, intolerance, and excessive emotionality as well as the general avoidance of interpersonal interactions. It applies to behaviors generally evidenced during ineffective workplace interactions.

- Disrespectful interactions – This dimension addresses an employee’s lack of consideration and engagement in mildly harassing behavior towards others. It also addresses one’s undesirable approach for handling conflict and the generally unfavorable nature of interpersonal interactions.
 - Does not treat others with congeniality AND/OR utilizes an argumentative style.
 - Does not display modesty AND/OR engages in excessive self-promotion or condescends.
 - Does not display patience AND/OR rushes interactions with others.

- Does not address interpersonal conflict in a respectful manner AND/OR allows temper to predominate in conflict situations.
- Does not facilitate conflict resolution AND/OR chooses unproductive ways of dealing with conflict such as holding a grudge or giving others the silent treatment.
- Does not respect the space and belongings of others AND/OR invades others' privacy.
- Does not encourage others AND/OR insults/ridicules others and their ideas.
- Does not respect others' successes AND/OR tries to spoil the image of others by highlighting negative aspects or minimizing positive aspects.
- Fails to understand appropriate time/place for humor AND/OR makes jokes/quips at inappropriate times/places.
- Intolerant/maladaptive interactions – This dimension addresses an employee's lack of empathy, tolerance, and adaptability. It refers specifically to working with diverse others and situations.
 - Does not create an inclusive environment AND/OR treats people differently based on age, gender, race/ethnicity, religion, sexuality, or disability.
 - Does not display sensitivity towards people's differences AND/OR makes remarks, jokes, or stereotypes about age, gender, race/ethnicity, religion, sexuality, or disability.
 - Does not appreciate differences in points of view or backgrounds AND/OR is uncooperative with those who have different points of view or backgrounds.
 - Does not make efforts to learn about cultural differences that impact work interactions/business etiquette AND/OR promotes own culture as the "right way."
 - Does not adapt to work with diverse personalities, organizational levels, and situations AND/OR relies on one interpersonal style despite the situation and particular people involved.
- Emotional interactions – This dimension addresses an employee's lack of emotional awareness and control and his/her undesirable reactions or expressions of emotion. This dimension refers to one's *general* skill in managing emotional content – see the Dysfunctional Stress Reactions content area for behaviors specific to stress-induced responses.
 - Fails to remain aware of own and others' emotions AND/OR ignores cues regarding own or others' emotional needs.
 - Does not monitor situational tolerance for emotion AND/OR displays inappropriate expressions of positive or negative emotions.
 - Fails to control mood fluctuations AND/OR allows mood to dictate behavior.
 - Does not display emotional toughness AND/OR takes things personally.
 - Does not admit frustration/anger AND/OR resorts to passive-aggressive expressions.

- Avoidance of interactions – This dimension addresses an employee’s general resistance to interpersonal interactions despite the business necessity to do so.
 - Does not engage in friendly workplace interactions when appropriate AND/OR struggles with informal “small talk.”
 - Does not engage in direct interactions AND/OR only uses indirect forms of communication (e.g., voicemail, email) when direct encounters are more appropriate.
 - Fails to participate in meetings or other group interactions AND/OR limits his/her suggestions or discussion when in group settings.

Deficient leadership – This content area is concerned with a general lack of leadership-relevant behavior, which results in resistance to change, ineffective unit functioning, and a lack of goal-directed activity. This area involves an employee’s low impact on others and includes deficiencies in assertiveness, direction, evaluation, and development in one’s work unit. Some of these behaviors may be performance-relevant when considering one’s approach to work in general, and may deserve attention regardless of whether or not the employee occupies a formal leadership role, whereas other behaviors apply more specifically to managers.

- Lack of assertiveness/influence – This dimension addresses an employee’s failure to assert oneself and display natural leadership capabilities. It also includes having a passive approach when dealing with others and with business in general.
 - Does not take reasonable risks AND/OR views all risks negatively.
 - Fails to deliver bad news or unpopular opinions AND/OR tells people what they want to hear when the truth is important.
 - Does not manage confrontation AND/OR passes conflicts on to others.
 - Does not command respect/authority from others AND/OR accepts others’ disrespectful behavior.
 - Does not know limits of responsibility AND/OR continually apologizes for things outside his/her control.
 - Fails to hold others (i.e., not just subordinates) accountable when appropriate AND/OR accepts too many excuses.
 - Does not lead by example AND/OR makes excuses for own behavior while holding others to different standards.
 - Does not inspire others to improve AND/OR reinforces the status quo.
 - Fails to persuade others when necessary AND/OR presents unenthusiastic or unsupported arguments.
 - Does not display courage when advocating ideas AND/OR backs down at the first sign of resistance.
- Insufficient employee direction – This dimension addresses an employee’s poor delegation and ineffective approach to motivation and direction.
 - Does not provide clear instruction/guidance AND/OR deploys unprepared employees.
 - Does not motivate others to do their jobs AND/OR uses intimidation/coercion to get things done.
 - Fails to maintain awareness of task feasibility when assigning tasks AND/OR allows obstacles to thwart employee progress.

- Fails to convey/use performance standards AND/OR holds inconsistent standards.
- Does not relinquish authority/power to deserving employees AND/OR micromanages employees' work.
- Does not consider the match between employee interests/abilities and the tasks AND/OR makes poor staffing/placement decisions.
- Does not adapt leadership style to the situation or particular employee AND/OR relies on one inflexible leadership style.
- Does not articulate unit-level goals AND/OR obscures the greater vision/purpose behind employees' work.
- Deficient employee development – This dimension addresses an employee's unsupportive behavior regarding employee development. It includes the failure to provide feedback and developmental opportunities as well as a general lack of support for subordinates.
 - Does not foster independence AND/OR dissuades employees from trying new things.
 - Does not acknowledge employees' contributions AND/OR downplays employees' contributions.
 - Does not display concern for employees' work-life balance AND/OR reacts to employees' work-life concerns with inflexibility and indifference.
 - Fails to monitor employee/unit progress (e.g., through goal-setting and tracking) AND/OR shirks accountability for unit.
 - Fails to adequately evaluate/discuss employee performance AND/OR provides limited/infrequent performance evaluation and coaching.
 - Fails to provide timely and specific constructive feedback AND/OR criticizes employees in a destructive manner.
 - Does not create a clear/fair system of employee accountability AND/OR delivers inappropriate rewards or punishments.
 - Does not create opportunities for employee job enrichment AND/OR confines employees to same task set.
 - Does not identify training needs, ensure training program development, or evaluate results of training AND/OR discourages participation in informal or formal training programs.

ANTI-JOB/WORK BEHAVIOR: This domain encompasses behaviors that detract from job/work/organizational success. It contains behaviors related to an anti-service approach, as well as behaviors characterized as immoral/deviant. It also includes behaviors related to a lack of professionalism and undesirable work ethic. This domain applies to one's approach to the job, organization, or work in general.

Unethical Behavior – This content area is concerned with unethical behavior, which results in inappropriate, disrespectful, and unlawful behavior. This area includes deficiencies in protecting and respecting the organization’s property, equipment, production/services, information, people, and reputation. Behaviors in this content area generally violate societal rules and may be characterized as lacking integrity/morality.

- **Deviance toward company property and resources** – This dimension addresses an employee’s failure to maintain the integrity of the organization’s property and information. It includes misconduct relating to physical, material, and financial resources.
 - Does not treat office supplies as an expense AND/OR wastes or pilfers office supplies.
 - Fails to be accountable for material resources AND/OR has unexplained losses in money/merchandise/materials.
 - Does not adhere to policies regarding organizational resources AND/OR misuses expense account, employee discounts, or other benefits.
 - Does not value conditions of the working environment AND/OR vandalizes or litters in the working environment.
 - Does not protect the value of office equipment, materials, or information AND/OR destroys or tampers with equipment, materials, or information.
 - Does not maintain the integrity of company documents AND/OR falsifies records or receipts for reimbursement.
- **Deviance toward production/progress** – This dimension addresses an employee’s failure to maintain the integrity of the organization’s production or progress. It involves behavior related to the hindrance of production or sale of the organization’s goods or services.
 - Does not facilitate organizational production/progress AND/OR sabotages production/progress.
 - Does not charge customers/clients appropriately AND/OR gives away products or services without permission or gives unauthorized discounts.
- **Deviance toward technology** – This dimension addresses an employee’s failure to maintain the integrity of the organization’s technology. It includes inappropriate usage of software, hardware, the organization’s network, and the Internet.
 - Does not protect company technology AND/OR sabotages computer programs or executes viruses.
 - Does not respect policies regarding appropriate Internet use AND/OR downloads or views websites with pornographic or other inappropriate material.
 - Does not adhere to ethical computer usage AND/OR steals proprietary information or hacks into private computer space.
- **Deviance toward others** – This dimension addresses an employee’s failure to show integrity when dealing with others. These “others” may be coworkers, subordinates, superiors, clients, the general public, or other entities encountered on the job. Behaviors in this dimension are distinguished from those in other dimensions containing interpersonal content by the immoral nature of behaviors listed here.
 - Does not look out for the best interests of clients/coworkers AND/OR cheats clients/coworkers.

- Fails to keep clients/coworkers informed AND/OR withholds needed information or presents misleading information.
- Does not report important information AND/OR covers up mistakes.
- Does not abide by policies regarding time-off of work AND/OR underreports or lies about reasons for absence.
- Does not comply with organizational policies and procedures AND/OR breaks rules and regulations.
- Does not make fair decisions AND/OR shows favoritism, nepotism, or special preference for certain people/groups.
- Fails to make reasonable requests of others AND/OR misuses power.
- Does not treat others with honesty and integrity AND/OR projects a false image of fairness.
- Does not move past others' transgressions or errors AND/OR tries to retaliate against others.
- Does not approach conflict with others in an appropriate way AND/OR threatens others or instigates aggressive or violent interactions.
- Deviance toward company image/reputation – This dimension addresses an employee's failure to maintain the integrity of the organization's external image/reputation. It includes the failure to respect, defend, and promote the organization to outsiders.
 - Does not protect organization to outsiders AND/OR reveals confidential information to outsiders.
 - Does not exhibit pride in representing the organization to outsiders AND/OR displays inappropriate conduct in public that detracts from organizational image.
 - Does not promote the organization to outsiders AND/OR openly talks negatively about the organization.
 - Does not maintain appropriate conduct in political relationships AND/OR gives or receives inappropriate gifts or contributions.
 - Does not uphold company image as a priority AND/OR sacrifices company image for personal goals.
 - Does not behave with honesty when representing the organization AND/OR distorts information or lies about the organization.

Unprofessional Behavior – This content area is concerned with unprofessional workplace behavior, which results in an employee's inappropriate and undesirable presentation of him/herself. This area includes deficiencies in the way one interacts with others in the workplace. It also includes deficiencies in the ways in which an employee approaches work in general, the specific organization, and broader business/industry awareness. Behaviors in this content area generally violate organizational rules and may be characterized as inappropriate for the workplace.

- Unprofessional appearance – This dimension addresses an employee's failure to make a good impression based on the physical way in which he/she presents to others.
 - Does not maintain personal appearance/hygiene AND/OR makes inappropriate choices regarding hair, facial hair, or scent.

- Does not adhere to dress code AND/OR dresses inappropriately for the situation.
- Unprofessional workplace interactions – This dimension addresses an employee’s unprofessional behavior when interacting with others, which includes coworkers, clients, subordinates, authority figures, or people external to the organization. It includes behaviors which demonstrate a lack of maturity, refinement, and workplace savvy. Behaviors in this dimension are distinguished from those in other dimensions containing interpersonal content by the unacceptable nature of these behaviors for a work environment.
 - Does not confront people or situations to find the truth AND/OR engages in excessive office gossip, rumor-spreading, or fabrication of stories.
 - Does not adhere to appropriate physical conduct AND/OR uses obscene gestures or inappropriate bodily contact.
 - Fails to keep sexuality out of the workplace AND/OR engages in verbal or physical conduct of a sexual nature, including having inappropriate sexual relationships.
 - Does not respect the organization’s higher authorities AND/OR outwardly questions or criticizes the organization’s higher authorities.
 - Does not maintain physical readiness to work AND/OR comes to work hung over, exhausted, or under the influence of alcohol or drugs.
 - Does not use appropriate lines of authority AND/OR skips over immediate supervisor to approach a higher authority.
 - Does not maintain awareness of appropriate information-sharing AND/OR engages in inappropriate self-disclosure or expressions of opinions/information.
 - Does not adhere to appropriate content for the workplace communications AND/OR uses inappropriate language (e.g., profanity, offensive slang).
 - Does not adhere to policies regarding appropriate email content AND/OR creates/forwards inappropriate emails.
 - Does not treat the workplace with appropriate gravity AND/OR plays pranks in the workplace.
 - Does not use proper etiquette for workplace technology AND/OR inappropriately uses cell phones, pagers, laptops, or Blackberries during meetings or other business interactions.
- Poor work ethic – This dimension addresses an employee’s undesirable work ethic. It includes behaviors related to poor attitude, poor work/life balance, complacency, and unreliability. It also includes behaviors related to the avoidance of work and time spent off-task.
 - Does not maintain a positive attitude towards work AND/OR allows low morale to negatively influence others.
 - Does not remain engaged by work AND/OR displays detachment or low enthusiasm/personal involvement.
 - Does not maintain balance between work and personal life AND/OR allows trivial non-work demands/concerns to interfere with work.
 - Does not show initiative AND/OR waits to be asked or instructed.

- Does not go out of one's way to anticipate and meet client needs AND/OR does the bare minimum to address client needs.
- Does not seek ways to improve own, group, or organizational functioning AND/OR adheres to inefficient methods.
- Does not seek new activities during down time AND/OR attends to non-work activities during down time.
- Does not seek feedback AND/OR shows little concern for performance evaluation.
- Does not accept feedback AND/OR ignores feedback or becomes defensive.
- Does not show interest in career development AND/OR avoids formal or informal training and self-development activities.
- Does not challenge oneself with developmental plans AND/OR chooses easily reached milestones and goals.
- Does not tolerate difficult working conditions AND/OR voices persistent complaints.
- Does not accept responsibility for work AND/OR makes excessive excuses.
- Does not promote own abilities AND/OR broadcasts own limitations.
- Does not work hard AND/OR relies on politics to get ahead.
- Displays a lack of urgency when dealing with clients, coworkers, superiors, and others AND/OR is slow to meet the needs of others.
- Does not accept criticism AND/OR reacts poorly to rejection of ideas.
- Does not stick to commitments AND/OR misses important meetings.
- Does not rearrange schedule to accommodate demands AND/OR arrives late or leaves early.
- Does not give adequate notice to management about upcoming time off AND/OR is frequently absent.
- Does not ensure work is covered when absent AND/OR assumes that everything is covered when absent from work.
- Does not accept the work assigned AND/OR turns down work, withdraws from work, or feigns ignorance to get out of work.
- Does not accept new technology AND/OR resists technology use.
- Does not monitor time off-task AND/OR takes long and frequent breaks.
- Does not maintain task focus AND/OR reads non-job-relevant materials (newspapers, magazines, books); engages in cyberslacking (uses Internet for entertainment or non-work purposes); engages in excessive personal emailing; conducts personal business; or talks to coworkers excessively.
- Poor business acumen – This dimension addresses an employee's failure to portray business, industry, and financial awareness and insight.
 - Does not maintain awareness of local and global events, competitors, and industry trends AND/OR attends to individual success rather than organizational success.
 - Does not leverage relationships/network AND/OR rejects others' attempts at networking/relationship building.

- Does not maintain awareness of power asymmetries AND/OR allows impulses to override political sensitivity.
- Does not display business savvy AND/OR projects ignorance or inexperience.
- Does not engage in strategic, “big-picture” thinking AND/OR utilizes a short-term, narrow outlook.
- Does not maintain awareness of financial results/indicators AND/OR acts with no regard for costs, revenue, and financial risk.
- Low commitment to organization – This dimension addresses an employee’s failure to demonstrate loyalty and dedication to the organization, its mission, and its culture. It applies more to the outward display of indifference or negativity rather than to one’s personal views.
 - Does not remain reasonably committed to organization under adverse conditions AND/OR openly displays pessimism with respect to the organization’s outlook.
 - Does not support the organization’s mission AND/OR openly expresses disagreement with the organization’s mission.
 - Does not maintain awareness of organizational threats and opportunities AND/OR openly expresses indifference with respect to the organization’s interests.
 - Does not conform to the organizational culture/norms AND/OR rebels against the organizational culture/norms.

APPENDIX J: Coder Instructions

Objective: To identify and code each, separate substandard performance issue that appears in the performance narratives of poor organizational performers.

1. Read through 3 sections of each narrative: the Summary Assessment, Key Developmental Needs, and Development Plans/Training. As you read through the text, underline each word, phrase, sentence, or paragraph that refers to a substandard performance issue
2. Next, number each unique reference to a substandard performance issue by circling a representative word/phrase and numbering that issue consecutively. In the left-hand margin, jot notes about that issue.
 - a. The objective is to identify each unique substandard performance issue in the narrative. First, determine the content area to which that issue most closely relates. Next, read the definitions and indicators for each dimension within that content area -- the definitions and indicators are used as the coding guide. Determine which dimension best categorizes the nature of that issue. Consider each issue to be at the level of the model indicators. There does not have to be an exact match between the issue and an indicator, but the issue should match the nature of the content in the selected dimension more than it matches any other dimension's content.
 - b. In cases where the same issue/indicator is mentioned repeatedly (either in the same words or somewhat different wording but still referring to the same issue), count that as one issue. In these cases, draw a line from the repeated issue to the one that was coded so that it is clear that you are considering it to be a repeat mention.
 - c. However, there may be multiple issues/indicators mentioned that are coded into the same dimension. In that case, each unique issue/indicator should be counted separately. Thus, there may be multiple occurrences of the same dimension in one narrative -- this is fine as long as you have counted distinct issues within that dimension (i.e., it is not just a lengthy explanation or a repeat of the same issue).
3. In the right-hand column, record the number reflecting the dimension that best fits that substandard issue (1-35).
4. Record any substandard issues which are deemed not to be represented by the current dimensions and code this issue as 99.

APPENDIX K: Dimension Frequencies for Total Narrative Set

Dimension	Frequency
Unacceptable quantity/productivity	120
Low initiative/service orientation	110
Poor oversight	91
Unacceptable quality	88
Deficient employee development	84
Poor employee direction	56
Technical deficiency	55
Lack of assertiveness	53
Low accountability	46
Low business savvy	45
Inadequate preparation	39
Poor teambuilding	31
Inadequate problem analysis	30
Counterproductive participation	26
Poor developmental focus	23
Avoidance of problem solving/decision-making	22
Ineffective oral communication	21
Low safety concern	19
Disorganization	18
Disrespectful interactions	18
Poor judgment	11
Poor stress tolerance	11
Intolerant interactions	11
Resistance to change	10
Ineffective written communication	7
Poor task focus	6
Excessive negativity	6
Avoidance of interactions	4
Inappropriate business procedures	2
Ineffective nonverbal communication	2
Emotional interactions	2
Poor organizational representation	2
Low informational security concern	1
Misuse of property/technology	0
Unprofessional appearance	0

APPENDIX L: Dimension Frequencies for Retail Narrative Subset

Dimension	Frequency
Unacceptable quantity/productivity	87
Deficient employee development	80
Unacceptable quality	57
Low initiative/service orientation	49
Poor oversight	46
Poor employee direction	44
Low business savvy	30
Low accountability	25
Lack of assertiveness	24
Inadequate problem analysis	21
Low safety concern	19
Counterproductive participation	16
Technical deficiency	15
Poor teambuilding	15
Inadequate preparation	13
Disorganization	11
Avoidance of problem solving/	10
Poor developmental focus	8
Disrespectful interactions	8
Poor judgment	7
Intolerant interactions	7
Ineffective oral communication	5
Poor stress tolerance	3
Resistance to change	3
Poor task focus	2
Excessive negativity	2
Inappropriate business procedures	1
Ineffective nonverbal communication	1
Emotional interactions	1
Poor organizational representation	1
Avoidance of interactions	1
Low informational security concern	0
Misuse of property/technology	0
Unprofessional appearance	0
Ineffective written communication	0

APPENDIX M: Dimension Frequencies for Corporate Narrative Subset

Dimension	Frequency
Low initiative/service orientation	61
Poor oversight	45
Technical deficiency	40
Unacceptable quantity/productivity	33
Unacceptable quality	31
Lack of assertiveness	29
Inadequate preparation	26
Low accountability	21
Ineffective oral communication	16
Poor teambuilding	16
Poor developmental focus	15
Low business savvy	15
Avoidance of problem solving/	12
Poor employee direction	12
Counterproductive participation	10
Disrespectful interactions	10
Inadequate problem analysis	9
Poor stress tolerance	8
Disorganization	7
Resistance to change	7
Ineffective written communication	7
Poor judgment	4
Poor task focus	4
Excessive negativity	4
Intolerant interactions	4
Deficient employee development	4
Avoidance of interactions	3
Low informational security concern	1
Inappropriate business procedures	1
Ineffective nonverbal communication	1
Emotional interactions	1
Poor organizational representation	1
Low safety concern	0
Misuse of property/technology	0
Unprofessional appearance	0

APPENDIX N: Fisher's Exact Test p-values and Confidence Intervals by Dimension

Dimension	Fisher's <i>p</i> -value	CI
1 Inadequate problem analysis	.190	-.0062 to .0345
2 Poor judgment	.766	-.0120 to .0158
3 Avoidance of problem solving/decision-making	.282	-.0303 to .0076
4 Inadequate preparation *	.003	-.0621 to -.0125
5 Poor oversight	.186	-.0588 to .0106
6 Disorganization	.814	-.0151 to .0187
7 Unacceptable quality	.145	-.0083 to .0577
8 Unacceptable quantity/productivity *	.000	.0327 to .1062
9 Technical deficiency *	.000	-.0938 to -.0354
10 Poor task focus	.411	-.0192 to .0046
11 Low initiative/service orientation *	.006	-.0922 to -.0160
12 Low accountability	.761	-.0316 to .0194
13 Poor developmental focus *	.033	-.0442 to -.0018
14 Excessive negativity	.411	-.0192 to .0046
15 Low safety concern *	.000	.0172 to .0480
16 Low informational security concern	.428	-.0123 to .0043
17 Poor stress tolerance	.063	-.0295 to .0002
18 Misuse of property/technology	1.00	-.0083 to .0062
19 Inappropriate business procedures	1.00	-.0107 to .0072
20 Resistance to change	.183	-.0266 to .0019
21 Low business savvy	.219	-.0089 to .0401
22 Unprofessional appearance	1.00	-.0083 to .0062
23 Ineffective oral communication *	.003	-.0483 to -.0096
24 Ineffective written communication *	.003	-.0312 to -.0052
25 Ineffective nonverbal communication	1.00	-.0107 to .0072
26 Poor teambuilding	.359	-.0336 to .0100
27 Counterproductive participation	.693	-.0162 to .0231
28 Intolerant interactions	.766	-.0120 to .0158
29 Emotional interactions	1.00	-.0107 to .0072
30 Disrespectful interactions	.338	-.0278 to .0072
31 Poor organizational representation	1.00	-.0107 to .0072
32 Avoidance of interactions	.319	-.0175 to .0038
33 Lack of assertiveness	.087	-.0532 to .0023
34 Poor employee direction *	.001	.0196 to .0715
35 Deficient employee development *	.000	.0941 to .1515