Instruction Manual

May 2017
Performance Appraisal Process
Local 2324 Represented Employees
<table>
<thead>
<tr>
<th>TABLE OF CONTENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Performance Appraisal Instructions or Memo from CHRO</td>
</tr>
<tr>
<td>Schedule for Processing Performance Appraisals and Performance Awards</td>
</tr>
<tr>
<td>Performance Appraisal Questions and Answers</td>
</tr>
<tr>
<td>Blank Performance Appraisal Form</td>
</tr>
<tr>
<td>Check List: Performance Appraisal Form</td>
</tr>
<tr>
<td>The Performance Appraisal Review Meeting</td>
</tr>
<tr>
<td>Check List: Meeting with the Employee</td>
</tr>
</tbody>
</table>
Dear Colleagues:

Thank you for participating in this year’s performance evaluation process. As you know, the appraisal is an effective way to provide valuable feedback to your staff, discuss and clarify expectations, celebrate success, and plan for ongoing professional development.

As part of this process, bargaining unit employees who have completed the probationary period on or before April 1, 2017 are eligible for the July 2017 performance increase. Only employees who are actively employed on the effective date of the increase will be eligible for a performance increase. Performance increases will be awarded to employees who are evaluated as “Exceptional”, “Exceeds Expectations”, and “Meets Expectations”.

Supervisors, in consultation with their Department Heads, are responsible for completing a Performance Appraisal form designed for Local 2324-represented employees who meet the above service criteria.

During the review process, we ask that:

1. The evaluations are coordinated through the Office of the Dean and/or Vice President.

2. The importance of the performance reviews is stressed to all supervisors who have responsibility for evaluating these employees.

To assist with the coordination and distribution of the review planning, a list of all eligible Local 2324-represented employees will be distributed to the Dean, Director and/or Department Heads in each area. The form and instruction manuals will be available on the Human Resources website at www.bu.edu/hr in the “Policies and Procedures” section. Human Resources staff will be available to provide you with any assistance you may need, including training of supervisors who are responsible for these reviews.

The merit increase planning process for L2324 will now be done in the new planning system - SAP Enterprise Compensation Management (ECM). Both the performance score and merit increase for eligible employees will be input into ECM. Training documentation and quick guides can be found at: http://www.bu.edu/hr/manager-resources/annual-performance-review-and-merit/ . Merit increase planning will begin on May 12th and end on June 3rd.

Much like prior years, department heads will be notified of all approved performance increases after all recommendations have been reviewed by Human Resources. Please wait to communicate increases until such time. Performance increases will be added to the hourly base rates for eligible employees effective July 3, 2017 and reflected in the July 14, 2017 paychecks.

If you have any questions regarding this process, please contact your Human Resources Business Partner.
Performance Appraisal and Performance Awards
Schedule for L2324 Employees

Effective July 3, 2017

• **Week of May 8, 2017** - Human Resources distributes a list of all eligible Local 2324-represented employees to Deans, Directors and Department Heads. Training documentation and quick guides for planning merit can be found at: [http://www.bu.edu/hr/manager-resources/annual-performance-review-and-merit/](http://www.bu.edu/hr/manager-resources/annual-performance-review-and-merit/). Deans, Directors and Department Heads manage the process to ensure that appraisals are fair and accurate, performance increases are equitable and the performance pool is not exceeded.

• **Prior to May 31, 2017** - Supervisors will complete the Performance Appraisal forms, and after consultation with their Dean, Director or Department Head, will meet with their employees.

• **Prior to June 3, 2017** – Recommenders and Approvers (as determined by the Dean, Director or Department Head) complete merit increase planning in ECM inclusive of performance rating and merit increase (if applicable). The system will automatically calculate the general increase based on the contract. Service adjustments will be applied after merit recommendations are submitted.

• **Prior to June 26, 2017** - Signed Performance Appraisal forms are returned to the office of Human Resources for validation of merit scores prior to increases being finalized.

• **July 3, 2017** - New rates, including general increase and performance increase, if applicable, are effective. Human Resources will submit the increases to payroll. The new rates will be reflected in the July 14, 2017 paychecks.
Questions and Answers

Regarding the Performance Appraisal Process for Local 2324 Represented Employees

1. Q. Why is the performance appraisal process being conducted?
   A. This performance appraisal process has been developed to objectively evaluate the performance of eligible Local 2324 represented employees, to inform those Employees of how well they are performing their job duties, and to establish a fair and equitable procedure for the distribution of job performance increases.

2. Q. Who will be evaluated during the 2017 performance appraisal process?
   A. All current Local 2324 represented employees who have completed the probationary period on or before April 1, 2017.

3. Q. Who should evaluate the employee?
   A. The exempt staff member who is responsible for the daily supervision of the employee is the ideal person to perform the evaluation. Remember, these appraisals must be based on objective observations of performance.

4. Q. What period of time should these evaluations cover?
   A. The supervisors should base their appraisal on the employee's performance since the 2016 evaluation through the date of this evaluation.

5. Q. What are the essential steps of the performance appraisal process?
   A. The process begins with the supervisor reviewing the position responsibilities, duties, and knowledge required by the individual's position. Information on requirements is contained in the employee's Position Description.

   Next, the supervisor must rate and describe the employee's performance on the Performance Appraisal form. (Please Note: When filling out the form use the TAB key to navigate between sections.) During this step, the supervisor must take care to evaluate objectively the employee's performance. The supervisor's comments are to be based solely on actual instances of performance and the results of such performance.

   Comments on the Performance Appraisal form should describe examples of the employee's typical level of performance. Comments should especially include the supervisor's appraisal of those areas of individual performance, which either exceed what is expected or fail to meet the expected level of performance. When the supervisor has completed and signed the form, it should be sent to the Dean, Director or Department Head for review.
6. Q. *When should I talk to my employee about his/her performance appraisal?*

A. After completing the Performance Appraisal forms in consultation with their Deans, Directors or Department Heads, the supervisors should meet with each employee they have evaluated.

At this meeting, the supervisor will discuss with the employee his or her appraisal of the employee’s level of job performance. The employee will have the opportunity to comment on the appraisal of his or her job performance. At the end of the meeting, the employee should be given time to comment on the evaluation and sign the Performance Appraisal form. If, after an appropriate interval (24 hours), the employee declines to sign the form, note may be added indicating that a performance appraisal review meeting was held, the date of the meeting, and that the employee declined to sign the form. For further information on this subject, turn to "The Performance Appraisal Review Meeting". The form should then be forwarded to your Dean, Director or Department Head who will return it to the Office of Human Resources.

7. Q. *When will the performance increases be received?*

A. Performance Appraisal forms and performance increases will be processed according to the above schedule. Increases for eligible employees who are actively employed on July 3, 2017 and are evaluated as "exceptional", "exceeds standard", or "meets standard" will be reflected in the paychecks received on Friday, July 14, 2017.

8. Q. *When will I be able to tell my employee about his/her performance increase?*

A. Departments will be informed of approved performance increases during the week of June 26, 2017. Do not communicate to the employee the amount of his/her increase until notification is received from Human Resources.

9. Q. *How will an employee be compensated if he or she received a promotion prior to July 3, 2017?*

A. The performance increase will be added to the employee's hourly rate of pay after the promotional increase.
Boston University Performance Evaluation for Employees
Represented by Local L2324, AUW

<table>
<thead>
<tr>
<th>Employee Name:</th>
<th>Click here to enter text.</th>
<th>BU ID:</th>
<th>Click here to enter text.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Position Title:</td>
<td>Click here to enter text.</td>
<td>Evaluator Name:</td>
<td>Click here to enter text.</td>
</tr>
<tr>
<td>Department:</td>
<td>Click here to enter text.</td>
<td>Date of Hire:</td>
<td>Click here to enter text.</td>
</tr>
<tr>
<td>Date in Current Position:</td>
<td>Click here to enter text.</td>
<td>Date of Appraisal:</td>
<td>Click here to enter text.</td>
</tr>
<tr>
<td>Evaluation Period:</td>
<td>Click here to enter text.</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Purpose of Performance Appraisals: The written performance appraisal is a formal assessment of your job performance based on performance expectations previously identified and shared with you. Informal and formal performance assessment is an on-going aspect of effective management and communication and the written performance appraisal should not replace the day to day communication of expectations.

Scoring Categories

<table>
<thead>
<tr>
<th>Exceptional</th>
<th>5 points</th>
<th>Meets Standards</th>
<th>3 points</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exceeds Expectations</td>
<td>4 points</td>
<td>Below Standards</td>
<td>2 points</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Unacceptable</td>
<td>1 point</td>
</tr>
</tbody>
</table>

1. JOB KNOWLEDGE

The extent to which you understand your position duties and responsibilities and adhere to the policies and the procedures of the department and the University.

**Exceptional:**

You demonstrate a *superior, comprehensive and knowledgeable understanding* of the applicable skills, tasks, and the use of equipment/software required of the position. In addition, you always take the initiative to expand your knowledge of the position and adhere to the policies and procedures of the department and the University.

**Exceeds Expectations:**

You demonstrate a *thorough knowledge and understanding* of the applicable skills, tasks, and the use of equipment/software required of the position. In addition, you regularly seek to increase or expand your position knowledge. You adhere to the policies and procedures of the department and the University.

**Meets Expectations:**

You consistently demonstrates *sufficient knowledge and understanding* of the applicable skills, tasks and the use equipment/software required of the job classification to complete your assigned duties in an accurate and proficient manner. You consistently adhere to the policies and procedures of the department and the University.
Below Expectations:
You exhibit deficiencies in your knowledge and understanding of the applicable skills, tasks, and the use of equipment/software required of the job classification to the degree that it impairs your ability to consistently perform in an accurate and proficient manner. You fail to consistently adhere to the policies and procedures of the department and the University.

Unacceptable:
Your knowledge and understanding of the applicable skills, tasks, and abilities to use equipment/software required of the position is deficient to the extent that you are unable to perform the essential duties of the job. You do not adhere to the policies and procedures of the department and the University.

Comments:
Click here to enter text.

2. QUALITY OF WORK & PRODUCTIVITY
Extent to which your work is thorough, effective, timely and accurate, and of appropriate volume.

Exceptional:
You are always thorough, accurate, efficient and meticulous in performing your job duties, and adhere to all prescribed departmental/university policies & procedures. You always produce the volume of work necessary to meet or exceed the University’s operational objectives.

Exceeds Expectations:
You are always accurate, efficient and detail-oriented and comply with prescribed departmental/university policies and procedures; you efficiently utilize work time in a way that meets the University’s operational objectives and consistently permits the completion of assignments in a timely manner.

Meets Expectations:
You are consistently accurate and efficient in performing position duties, and almost always comply with prescribed departmental/university policies and procedures; you almost always perform the volume of work necessary to meet or exceed the University’s operational objectives.

Below Expectations:
You are not accurate, efficient or detail oriented, and often fail to comply with prescribed departmental/university policies and procedures; your inefficient use of work time often results in an inability to complete assignments in a timely manner.
☐ Unacceptable:
You are careless or inattentive to the details of the job responsibilities; you do not make effective or efficient use of your time; you rarely follows prescribed departmental/university policies and procedures; you regularly fail to complete routine assignments in a timely manner.

Comments: Click here to enter text.

3. DECISION MAKING & PROBLEM SOLVING

Extent to which you demonstrate sound judgment in making position-related decisions and solving problems; gather and analyze relevant data, develop and implement constructive solution.

☐ Exceptional:
You always make excellent position related decisions and successfully solve problems independently. When making decisions, you always demonstrate an exemplary ability to process information and implement solutions.

☐ Exceeds Expectations:
You regularly make sound position related decisions and solve problems independently. When making decisions, you always demonstrate the ability to process information and implement solutions.

☐ Meets Expectations:
You make sound position related decisions or solve problems without assistance or guidance. When making decisions, you consistently demonstrate the ability to process information and implement appropriate solutions.

☐ Below Expectations:
You rarely make position related decisions or solve problems without assistance or guidance. When making decisions, you have difficulty processing information and implementing acceptable solutions.

☐ Unacceptable:
You make poor position related decisions and require assistance with even common problems.

Comments:

Click here to enter text.
4. COMMUNICATION SKILLS

Extent to which you effectively convey information and ideas to others; clarity of your oral and written communications.

☐ Exceptional;

You are an exemplary communicator who always conveys necessary job related information and ideas in a timely and effective manner that enhances departmental efficiency and your effectiveness.

☐ Exceeds Expectations:

You are a skilled communicator who regularly conveys necessary job related information and ideas in a timely and effective manner which promotes departmental efficiency.

☐ Meets Expectations:

You convey job related information and ideas in a clear, concise, and effective manner orally or in writing.

☐ Below Expectations:

You are rarely able to effectively communicate job related information either orally or in writing.

☐ Unacceptable:

You fail to convey job related information either orally or in writing.

Comments:

Click here to enter text.

5. INTERPERSONAL SKILLS

Extent to which you are professional, courteous, respectful, and cooperative during workplace interactions in accordance with applicable department and University policies and procedures.

☐ Exceptional:

You are always professional, courteous, respectful and cooperative during all workplace interactions and your behavior is always exemplary regardless of the circumstances.

☐ Exceeds Expectations:

You are regularly professional, courteous, respectful and cooperative during all workplace interactions and your behavior is appropriate regardless of the circumstances.

☐ Meets Expectations:

You are sufficiently professional, courteous, respectful and cooperative during workplace interactions promoting a pleasant and productive work environment and you address workplace disagreements or discord in an appropriate manner.
Below Expectations:
Your interpersonal skills are deficient enough to occasionally impair the orderly and efficient operation of the department.

Unacceptable:
You are unable or unwilling to observe reasonable standards of courtesy or professionalism when interacting with others while at work.

Comments:
Click here to enter text.

6. ATTENDANCE AND PUNCTUALITY
Extent to which you are present and adhere to applicable department and University policies and procedures regarding attendance, commitments and obligations in accordance with prescribed schedules and deadlines. Please note that approved FMLA leaves will not be counted against the employee.

Exceptional:
You are always punctual and present and always follow the University policies and procedures with regards to accrued vacation and personal time. You are never absent except for the pre-arranged use of accrued vacation or personal time. You always fulfill your job commitments and obligations regardless of the circumstances.

Exceeds Expectations:
You are almost always punctual and always follow the University policies and procedures with regard to accrued vacation and personal time. You only occasionally use a sick day and always follow department procedures when notifying your Supervisor of a sick day. You almost always fulfill your job commitments and obligations regardless of the circumstances.

Meets Expectations:
You are consistently punctual and present and always follow the University policies and procedures with regards to accrued vacation and personal time. You always follow department procedures when notifying your supervisor of a sick day and never use more sick time than what has been accrued unless dictated by a medical emergency. You consistently fulfill your job commitments and obligations even under challenging circumstances.

Below Expectations:
You are frequently late or absent and usually follow the University policies and procedures with regards to accrued vacation and personal time. You follow his/her department procedures when notifying your supervisor of a sick day and sometimes exceed accrued sick time. You often fail to fulfill job commitments and obligations and cannot be counted on in emergencies.
☐ Unacceptable:

You are regularly late or absent and have difficulty following the University policies and procedures with regards to accrued vacation and personal time. You do not follow department procedures when notifying your supervisor of a sick day and often exceed accrued sick time. You regularly fail to fulfill job commitments and obligations and are not dependable under even ordinary circumstances.

COMMENTS:

Click here to enter text.

OVERALL RATING:

<table>
<thead>
<tr>
<th>Range</th>
<th>Description</th>
<th>Choose an item.</th>
</tr>
</thead>
<tbody>
<tr>
<td>27-30</td>
<td>Exceptional</td>
<td></td>
</tr>
<tr>
<td>22-26</td>
<td>Exceeds Expectations</td>
<td></td>
</tr>
<tr>
<td>17-21</td>
<td>Meets Expectations</td>
<td></td>
</tr>
<tr>
<td>10-16</td>
<td>Below Expectations</td>
<td></td>
</tr>
<tr>
<td>6-9</td>
<td>Unacceptable</td>
<td></td>
</tr>
</tbody>
</table>

GOALS FOR NEXT EVALUATION PERIOD:

Click here to enter text.

Supervisor’s Signature: ___________________________ Date: ____________
Employee’s Signature: ___________________________ Date: ____________

EMPLOYEE COMMENTS:

Click here to enter text.

I have been given a copy of this performance evaluation and have been notified that a copy will be placed in my personnel file in Human Resources.

Employee Signature: ___________________________ Date: ____________
CheckList: Performance Appraisal Form

Did You Remember to:

- Review the Position Description before rating the employee.
- Consult with your Dean, Director or Department Head before meeting with the employee.
- Evaluate the employee objectively on the performance of his or her duties as described on the Position Study Questionnaire.
- Use concrete and representative examples of performance.
- Consider the entire performance review period in making your evaluation.
- Rate each employee on actual past performance and not on potential performance.
- Consider the total performance of the job in making each evaluation.
- Base evaluations on instances of performance which you have either observed or which have come to your personal attention.
- Identify areas of growth and development.

The Performance Appraisal Review Meeting

What is a Performance Appraisal Review Meeting?

A review meeting is one between the supervisor and employee to discuss that employee's work. It is a way for both to see if the employee is "on the right track" and to determine what should be done to improve the employee's effectiveness.

The review meeting usually involves the supervisor in two different roles: judge (evaluator); and helper (coach and counselor). As judge, the supervisor must make decisions concerning the results of the employee's work, measuring those results against established guidelines, using the form distributed by the Office of Human Resources.

As helper, the supervisor's role is one of advising employees and assisting in the solving of work-related problems. In this advising role, the supervisor improves the decision-making process by getting the employee to weigh alternatives, consider consequences, or suggest other courses of action.
How Does the Supervisor Prepare for the Meeting?

There are several things which should be done by the supervisor before an appraisal meeting is held:

- **Review the Position Description**
  This helps to refresh your understanding of the duties and responsibilities of the position.
- **Review the appraisal form**
  This helps to remind you of the reasons you used in determining the ratings which you gave to the employee on the different factors.
- **Notify the Employee**
  The employee has a schedule, just as you do, so it is essential that you give advance notice of the meeting. The employee should be told why the meeting is being held. Advance notification will give the employee a chance to privately evaluate his own performance prior to the meeting.
- **Arrange an Appropriate Setting**
  The setting for the meeting often reflects the importance of the meeting to the supervisor. A location should be selected that is free of telephone or visitor interruptions. This should signal to the employee that the meeting is a serious priority and not just a procedural formality.
- **Arrange a Convenient Time**
  There can be no set standard on how long a review meeting should take. The supervisor should plan for the meeting to last at least 45 minutes. Setting aside time at the beginning of the workday is usually a good idea, since it involves people's time when one is fresh and alert, and before becoming involved in the business day.
- **Prepare Outline/Agenda for the Meeting**
  Pre-planning what issues will be discussed helps the supervisor to be objective. An outline helps to focus on the content of the meeting, manage the time appropriately, and insure that all salient points will be discussed. The supervisor’s comments on the performance appraisal form may be the source of many of the agenda items.
- **Prepare a Copy of the Completed, Signed Appraisal for the Employee**
  A copy of the completed, signed Performance Appraisal form should be given to the employee during the meeting to help the employee remember the evaluation and to provide the employee with an opportunity to comment.
What Happens During the Performance Appraisal Review Meeting?

The meeting should focus on two aspects of supervisor/employee relations:
- The discussion of past performance;
- The plans for future employee improvement or development.

Typical Discussion Topics:

- "How is the employee doing?"
- "What is the employee doing right?"
- "Where does the employee need to improve?"
- "What can be done to help the employee do the job better?"

The supervisor should avoid answering these questions with comparisons to other employees. The responses should reflect the individual's job requirements and the employee's achievement against those requirements. As a result of this discussion, the employee may be encouraged to attend some specific training courses, or the supervisor may schedule time to provide some on-the-job training in areas where the employee's skills need the most improvement. As a result of this meeting, the employee should become aware of the strongest and weakest points of his or her job performance. He or she should have a clear understanding of what is expected in the future.

Check List: Meeting with the Employee

Remember To:

- Meet with the employee in a private place with uninterrupted time to discuss the evaluation.
- Allow the employee to read the form.
- Be specific in your discussion with the employee about his or her strong points and weak points.
- Clearly indicate what kind of improvement you wish to see and how that employee could meet your expectations.
- Counsel the employee on how to improve his or her job performance.
- Allow the employee the opportunity to tell you how he or she feels he or she is performing.
- Make your expectations clear.
- Have the employee sign the form.
- All signed forms should be saved in the following format (see below) and returned to your HRBP in a secured email.