Boston University

Performance Evaluation Program

Administrative Employees Exempt and Non-Exempt

(excludes staff covered by Collective Bargaining Agreements and Certain Contracts)
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TO: Vice Presidents, Deans, Directors and Department Heads
FROM: Diane M. Tucker, Chief Human Resources Officer
      Derek Howe, Vice President, Budget and Capital Planning
RE: Performance Evaluation and Merit Program for Administrative Staff (Exempt and Non-Exempt Staff)
DATE: September 26, 2016

It is time once again to begin the performance evaluation and merit process for administrative staff. As was the case last year, we will use the same Performance Evaluation forms for preparing written assessments, and the legacy Merit Increase System to collect ratings and recommended merit increases. Here are some reminders and key due dates:

- All administrative staff hired on or before September 30, 2016 (excluding those covered by a collective bargaining agreement) are covered in this review, should receive a written performance evaluation, and are eligible for a merit-based salary increase.

- Proposed salary increases should be within the available pool and aligned with employee performance with a focus on rewarding, recognizing and retaining top talent.

- Performance Evaluation forms should be used to provide substantial and meaningful performance feedback to each employee based on their position description and 2016 goals and to share expectations for 2017. The forms can be found at: [http://www.bu.edu/hr/manager-resources/performance-management/performance-evaluation-program/administrative-employees-exempt-and-non-exempt-excluding-staff-represented-by-collective-bargaining-agreements/](http://www.bu.edu/hr/manager-resources/performance-management/performance-evaluation-program/administrative-employees-exempt-and-non-exempt-excluding-staff-represented-by-collective-bargaining-agreements/).

- Once the evaluation form is completed, the resulting performance score must be entered into the Merit Increase System, along with the salary increase recommendation. There is an option for managers to exclude employees who are too new to evaluate (hired after August 1, 2016).

- A moratorium on off-cycle increases, reorganizations and re-grades for these populations will be in effect from November 1, 2016 through January 31, 2017. No retroactive changes will be allowed; therefore please plan the processing of forms accordingly.
The Budget Office will communicate the merit pool on or about November 7, 2016. They will also contact you over the next few weeks to confirm security access to the merit system.

The timeline for this year’s process is:

<table>
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<tr>
<th>ITEM</th>
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<tr>
<td>Communication kickoff date</td>
<td>September 26th, 2016</td>
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<tr>
<td>Performance Evaluations completed by managers</td>
<td>September 26\textsuperscript{th} – November 14\textsuperscript{th}</td>
</tr>
<tr>
<td>and sent to the HR Business Partner</td>
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<tr>
<td>Merit pool distributed (by Budget)</td>
<td>November 7\textsuperscript{th}</td>
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<tr>
<td>Merit Increase System opens to submit performance ratings and</td>
<td>November 7\textsuperscript{th}</td>
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<td>recommended merit increases</td>
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<td>Deadline for departments to submit completed recommendations</td>
<td>November 23\textsuperscript{rd}</td>
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<tr>
<td>HR review of performance ratings and merit increase</td>
<td>November 28\textsuperscript{th} – December 16\textsuperscript{th}</td>
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<tr>
<td>recommendations</td>
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<td>Approved Merit Increases included in employees’ paychecks:</td>
<td>January 13, 2017</td>
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<tr>
<td>Non-Exempt</td>
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<tr>
<td>Exempt</td>
<td>January 31, 2017</td>
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Please note that the submission deadline for performance ratings and recommended increases is critical. We appreciate your commitment to meeting the noted deadlines.

Please contact the Human Resources Business Partner for your school/college/department with any questions, or for guidance and training on completing the Performance Evaluations. They can be found here:

[http://www.bu.edu/hr/home/contact-hr/hr-partners/](http://www.bu.edu/hr/home/contact-hr/hr-partners/)

Thank you very much for your attention to these deadlines.
Performance Evaluation Program
Schedule
Administrative Employees
(Exempt and Non-Exempt, excluding staff represented by collective bargaining agreements and certain contracts)

On or prior to October 2, 2016:

Schools and Departments will be notified about the 2016 Boston University Performance Evaluation Program (BUPEP). Performance evaluation forms and training manuals will be available on the Human Resources website. Additional individual training is available if requested.

On or prior to November 14, 2016:

Supervisors should have completed all employee performance evaluations, and have met with each employee to discuss achievement against performance goals, the performance evaluation form, and the employee’s rating (in consultation with their Dean, Director or Department Head).

On or prior to November 14, 2016:

Completed BUPEP forms are due to the Human Resources Business Partner that supports the school, college or administrative unit. Forms are to named using the following convention, scanned separately and sent to the HR Business partner using Secure DataMotion in Outlook:

  UID.Last Name.First Name.PEP2016.pdf
Questions And Answers
Regarding the Performance Evaluation Process

1. Q. *Why is the performance evaluation process being conducted?*
   A. The performance evaluation process is a key tool in helping managers to evaluate the performance of employees, inform them of how well they are performing their job duties, and discuss how their goals align with overall department and University objectives.

2. Q. *Who will be evaluated during the 2016 performance evaluation process?*
   A. All current administrative employees (exempt and non-exempt, excluding staff represented by Collective Bargaining Agreements and certain contracts) and exempt employees who were hired on or before September 30, 2016.

3. Q. *Who should evaluate the employee?*
   A. The supervisor/exempt staff member responsible for the daily supervision of the employee should prepare the evaluation and discuss it with the employee.

4. Q. *What period of time should these evaluations cover?*
   A. The performance period is January 2016 through the date of the evaluation. For new employees hired in 2016, the performance period begins on the date of hire.

5. Q. *What are the essential steps of the performance evaluation process?*
   A. The process begins with the supervisor reviewing the position responsibilities, duties, and knowledge required by the individual’s position, as well as the goals set in the last performance evaluation. The position description can be found in SAP.

   Next, the supervisor rates the employee’s performance on a 1-5 scale, and describes the employee’s achievements against performance expectations, as well as areas for development.

   The comments should include specific examples wherever possible of performance, and the supervisor’s evaluation of those areas which either exceeded expectations, or fell short of the expected level of performance. Where internal department processes require, the supervisor should forward the review to the appropriate Dean, Director or Department Head for review.
6. Q. *When should I talk to my employee about his/her performance evaluation?*

A. After the Performance Evaluation forms have been completed and performance ratings are approved by the appropriate Dean, Director or Department Head, the supervisor should meet with each employee to discuss the evaluation.

At this meeting, the supervisor should discuss the results of the performance evaluation with the employee, and establish goals for the coming year. At the end of the meeting, the employee should be given time to comment on the evaluation and sign the Performance Evaluation form and return it to the supervisor. If the employee declines to sign the form, a note may be added indicating that a performance evaluation review meeting was held, the date of the meeting, and that the employee declined to sign the form. The form should then be forwarded to your Dean, Director or Department Head, who will submit it to Human Resources.

7. Q. *Can we modify the University Performance Evaluation form?*

A. No, the form should not be modified; however additional feedback may be provided via a separate Word document and attached to the review.

8. Q. *Is this form used to evaluate faculty who have administrative responsibilities?*

A. No, faculty members are evaluated as part of separate process.

9. Q. *Can employees complete a self-evaluation?*

A. Yes, although not required, a manager or supervisor may offer an employee the opportunity to complete a self-evaluation. The self-evaluated may be "cut and pasted" into the “Goals and “Accomplishments” section, or attached as a separate document.

10. Q. *Where can I access the Performance Evaluation Forms?*
A. The forms (both exempt and non-exempt staff) can be accessed on the Human Resources website (http://www.bu.edu/hr/policies/performance-evaluation-program/administrative-employees-exempt-non-exempt/). The forms are in Word and PDF format and can be downloaded and saved to your computer. The forms will have text field boxes for you to enter information. The standard sections of the forms are not modifiable. There is a separate form for non-exempt staff (grades 21-26) and exempt staff (grades 51 and 71 and above). Staff covered by a collective bargaining agreement are not included in this review.
Employee Name:                      Job Title: 
Supervisor Name:                        Unit/Department: 
Date of Evaluation:                   Performance Evaluation Period: 

PURPOSE OF PERFORMANCE EVALUATION

The written performance evaluation is a formal assessment of the employee’s job performance over a specified period of time based on performance expectations identified by the supervisor and shared with the employee. Informal performance assessment is an ongoing aspect of effective supervision and communication and the written performance evaluation should not replace day to day supervision and communication.

GOALS AND ACCOMPLISHMENTS

Supervisor: List the employee’s key responsibilities and planned goals for this review period, and comment on outcomes and achievements against these goals.
Supervisor: Please rate the employee on each of the performance factors included on the second page of this form. Please select one option for each factor. For any performance factor which does not apply to the employee’s responsibility, please check “Not Applicable.”

Definitions:

**Unacceptable (1)** - Employee's performance does not meet the essential position requirements.

**Needs Improvement (2)** - Employee's performance meets some of the essential position requirements, yet requires improvement to reach the successful level of meeting all essential position requirements.

**Successful (3)** - Employee's performance meets all essential position requirements. Accomplishments are in accordance with the standards of the position.

**Excellent (4)** - Employee's performance meets most essential position requirements and exceeds some requirements of the position.

**Outstanding (5)** - Employee's performance far exceeds all essential position requirements. Accomplishments go above and beyond the standard requirements of the position.

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<tr>
<th>PERFORMANCE FACTORS*</th>
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<td>Job Knowledge</td>
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<td>Decision Making And Problem Solving</td>
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<tr>
<td>Work Quality/Productivity</td>
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<td>Dependability</td>
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<td>Communications</td>
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<td>Interpersonal Relationships</td>
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<td>Safety</td>
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<tr>
<td>Leadership</td>
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**OVERALL RATING**

Select...

Supervisor: Comment on the employee’s performance with respect to expectations and standards for his or her job responsibilities in the text field provided.
GOALS AND KEY RESPONSIBILITIES FOR NEXT YEAR:

AR

EAS FOR IMPROVEMENT:

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.

Supervisor Signature ___________________________ Date __________________

Department Head or Designee Signature ___________________________ Date __________________

Employee Signature ___________________________ Date __________________
PERFORMANCE FACTORS*

Job Knowledge: Understands job duties and responsibilities. Understands and adheres to the departments and University’s policies and procedures.

Decision Making and Problem Solving: Demonstrates sound judgment in making decisions and solving problems. Gathers and analyzes relevant data and develops and implements workable solutions.


Dependability: Demonstrates dependability on the job and is responsive to the needs of the department. Schedules time off in advance, begins work on time, and keeps absences within guidelines. Ensures work responsibilities are covered when absent. Arrives at meetings and appointments on time.

Communications: Demonstrates competence in expressing ideas verbally and in writing. Actively listens to suggestions and feedback from others and responds appropriately. Presents information clearly and concisely and is able to communicate effectively in all situations.

Interpersonal Relationships: Develops and maintains effective working relationships with colleagues, superiors and where appropriate, faculty, students and external constituents. Demonstrates a professional demeanor at all times.

Safety: Adheres to safe practices when performing assigned tasks; plans work procedures with safety concerns in mind and maintains a safe work environments; actively supports a culture of safety and encourages others to do so; attends training programs as appropriate; recognizes and reports unsafe conditions and actively works to remedy them.

Leadership: Ability to motivate direct reports and others to fulfill unit goals and the University’s mission. Develops and communicates a clear vision of the future environment and provides direction on what needs to be done to ensure long-term success. Champions methods, procedures, or systems that have the greatest potential for maximizing efficiency and effectiveness. Provides staff with specific feedback and coaching to improve performance and to assess development opportunities.
PERFORMANCE EVALUATION
ADMINISTRATIVE EMPLOYEES: NON-EXEMPT
(Excluding staff represented by collective bargaining agreements)

Employee Name: 
Supervisor Name: 
Date of Evaluation: 

Job Title: 
Unit/Department: 
Performance Evaluation Period: 

PURPOSE OF PERFORMANCE EVALUATION

The written performance evaluation is a formal assessment of the employee’s job performance over a specified period of time based on performance expectations identified by the supervisor and shared with the employee. Informal performance assessment is an on-going aspect of effective supervision and communication and the written performance evaluation should not replace day to day supervision and communication.

KEY RESPONSIBILITIES
Supervisor: Please rate the employee on each of the performance factors included on the second page of this form. Please select one option for each factor. For any performance factor which does not apply to the employee’s responsibility, please check “Not Applicable.”

**Definitions:**

**Unacceptable (1)** - Employee's performance does not meet the essential position requirements.

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<td>Safety</td>
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<tr>
<td><strong>OVERALL RATING</strong></td>
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Supervisor: Comment on the employee’s performance with respect to expectations and standards for his or her job responsibilities in the text field provided.
GOALS AND KEY RESPONSIBILITIES FOR NEXT YEAR:

AREAS FOR IMPROVEMENT:

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.

Supervisor Signature ___________________________ Date ________________

Department Head or Designee Signature ___________________________ Date ________________

Employee Signature ___________________________ Date ________________

EMPLOYEE COMMENTS (Optional):

________________________________________________________________________
PERFORMANCE FACTORS*

Job Knowledge: Understands job duties and responsibilities. Understands and adheres to the departments and University’s policies and procedures.

Decision Making and Problem Solving: Demonstrates sound judgment in making decisions and solving problems. Gathers and analyzes relevant data and develops and implements workable solutions.


Dependability: Demonstrates dependability on the job and is responsive to the needs of the department. Schedules time off in advance, begins work on time, and keeps absences within guidelines. Ensures work responsibilities are covered when absent. Arrives at meetings and appointments on time.

Communications: Demonstrates competence in expressing ideas verbally and in writing. Actively listens to suggestions and feedback from others and responds appropriately. Presents information clearly and concisely and is able to communicate effectively in all situations.

Interpersonal Relationships: Develops and maintains effective working relationships with colleagues, superiors and where appropriate, faculty, students and external constituents. Demonstrates a professional demeanor at all times.

Safety: Adheres to safe practices when performing assigned tasks; plans work procedures with safety concerns in mind and maintains a safe work environments; actively supports a culture of safety and encourages others to do so; attends training programs as appropriate; recognizes and reports unsafe conditions and actively works to remedy them.
Check List: 
Performance Evaluation Form

☐ Review the Position Description before rating the employee.

☐ Review the goals established for the performance period last year before writing the evaluation.

☐ Where internal process requires, consult with your Dean, Director or Department Head before meeting with the employee.

☐ Evaluate the employee on the performance of his or her duties as described on the position description, against goals established for the performance period, and against performance expectations.

☐ Use concrete and representative examples of performance wherever possible.

☐ Consider the entire performance review period in making your evaluation.

☐ Rate each employee on actual past performance and not on potential performance.

☐ Base performance comments on instances of performance which you have either observed or which have come to your personal attention.

☐ Identify areas of growth and development.

☐ Establish goals with expected outcomes for the upcoming performance period.
The Performance Evaluation Review Meeting

What is a Performance Evaluation Review Meeting?

A review meeting is a one-on-one, in person meeting between the supervisor and employee to discuss the employee’s performance. It is a mutual discussion of how well the employee met his or her goals, how to enhance impact and effectiveness, and future development needs.

The review meeting usually involves the supervisor in two different roles: evaluator and coach. As the evaluator, the supervisor assesses the employee’s work, measures results against expectations, and prepares a written evaluation.

As coach, the supervisor's advises the employee and assists in addressing work-related challenges. In the coach role, the supervisor can help the employee to weigh alternatives, consider consequences, or suggest specific actions to improve outcomes or enhance performance.

How Does the Supervisor Prepare for the Meeting?

There are several things a supervisor can do to ensure the performance evaluation discussion is productive:

• **Review the Position Description**
  This helps to refresh your understanding of the duties and responsibilities of the position.

• **Review the goals established at the last evaluation**, and the employee’s achievements against those goals.

• **Notify the Employee**
  Provide the employee with advance notice of the date and time and purpose for the meeting so he or she can prepare as well.

• **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**
  A performance discussion meeting typically lasts 45 minutes to an hour.
• Prepare Outline/Agenda for the Meeting
Pre-planning issues to be discussed helps to make the discussion productive. An outline can help to focus on the content, manage time appropriately, and ensure that all salient points are covered.

• Prepare a Copy of the Completed, Signed Evaluation for the Employee
A copy of the completed, signed Performance Evaluation form should be given to the employee either during or after the meeting.

What Happens During the Performance Evaluation Review Meeting?

The meeting should focus on:
• Past performance against goals and expectations;
• Goals for the upcoming performance period;
• The employee’s development (acquisition of specific skills, on-the-job training, growth opportunities, areas for performance improvement)

The outcome of this discussion should be a clear understanding of the employee’s achievements during the performance period, strengths and development areas, and how the employee can improve his or her impact going forward.
Check List:
Meeting With The Employee

☐ 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 strengths and development areas.

☐ Clearly indicate what kind of improvement you wish to see and how that employee could meet your expectations.

☐ Coach the employee on how to strengthen his or her impact.

☐ Allow the employee the opportunity to tell you how he or she feels he or she is performing.

☐ Have the employee sign the form.