



**Boston University**

**Exempt  
and  
Non-Exempt, Non- Represented  
Employees**

**Performance Evaluation Program  
Training Manual**

**October 2009**

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## MEMORANDUM

TO: Vice Presidents, Deans, Directors and Department Heads

FROM: Manuel P. Monteiro, Associate Vice President for Human Resources

RE: Performance Evaluation Program

DATE: October 5, 2009

I am writing to inform you of the procedures to be used this year to implement the University-wide performance evaluation program for non-represented administrative employees (exempt and non-exempt) which is a part of the annual salary review process. The performance evaluation program will assist the university and employees with performance management and align individual goals with departmental and university goals.

An Employee Relations Representative will be contacting your areas over the next week to schedule training for exempt staff and administrators in your school or department who will have responsibility for completing the performance evaluation forms. This training will provide an overview of the performance evaluation program and a review of the forms, the timeline and practical instructions on completing a performance evaluation. Additional training will be available through the Office of Human Resources "Get Trained" training series. The forms, schedule and training manual are available on the Office of Human Resources website at [www.bu.edu/hr](http://www.bu.edu/hr) under the "University Policies and Procedures" section.

In order to ensure the successful implementation of the performance evaluation program, please keep in mind the following:

1. The Performance Evaluation Program will be linked to the annual review process for merit increases.
2. Schools/Departments are required to send completed copies of the performance evaluation forms to the Office of Human Resources where they will be placed in each employee's official personnel file.
3. The Performance Evaluation Program is implemented on both the Charles River Campus and the Medical Campus.

Please contact your Employee Relations Representative if you have any questions.

**Timeline for Implementation of  
Performance Evaluations and Performance Awards for  
Non-Represented Exempt and Non-Exempt Employees  
Which are Effective January, 2010**

- **Prior to October 10, 2009:** Schools and departments key administrative personnel are trained on the performance evaluation program.
- **Prior to November 13, 2009** - Supervisors will, in consultation with their Dean, Director or Department Head, complete the performance evaluation forms, meet with their employees, and forward the forms to their Dean, Director or Department Head. The merit increase process will be coordinated with the performance evaluation program.
- **Prior to December 3, 2009-** The completed performance evaluation forms are submitted to the Office of Human Resources. Departments utilizing their own performance review forms are also required to submit a completed form to Human Resources.
- **January 1, 2010** - Performance increases, if applicable, are effective. The increase will be reflected in the January 15, 2010 checks for non-exempt employees and in the January 29, 2010 checks for exempt employees.
- **January, 2010** – Deans, Directors and Department Heads will be notified of the approved salary increases, at which time employees may be notified of their increases.

## Questions And Answers

### **Regarding The Performance Evaluation Process**

1. Q. *Why is the performance appraisal process being conducted?*  
A. This performance appraisal process has been developed to objectively evaluate the performance of 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 2009 performance appraisal process?*  
A. All current non-exempt, non-represented and exempt employees who are actively employed on or before September 30, 2009.
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 job performance.
4. Q. *What period of time should these evaluations cover?*  
A. The supervisors should base their appraisal on the employee's job performance from January 2009 through the date of the evaluation. For new employees hired in 2009, it would be based from the date of hire through the date of the evaluation.
5. Q. *What are the essential steps of the performance appraisal process?*  
A. The process begins with the supervisor reviewing the job responsibilities, duties, and knowledge required by the individual's position. Information on job requirements is contained in the employee's Job Description.

Next, the supervisor must rate and describe the employee's job performance on the Performance Evaluation Form. During this step, the supervisor must take care to evaluate objectively the employee's performance. The supervisor's evaluation is to be based solely on actual instances of job performance and the results of such performance.

Comments on the Performance Evaluation 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 job 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 evaluation?*

A. After completing the Performance Evaluation 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, a 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 Evaluation 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 Evaluation forms and performance increases will be processed according to the attached schedule. Payments for eligible employees who are actively employed on January 1, 2010, will receive their performance increases in the first pay cycle in 2010. Salary increases for Non Exempt employees will be reflected in the January 15, 2010 paycheck and salary increases for Exempt employees will be reflected in the January 29, 2010 paycheck.

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 in January. Do not tell the employee the amount of his/her increase until notification is received.
9. Q. *Is the performance evaluation linked to merit pay?*
- A. Yes, one of the purposes of the performance evaluation process is to create a system to help managers and supervisors allocate the annual merit pool.
10. Q. *Should employees who receive similar evaluations also receive similar increases?*
- A. Yes, although the amount may not be exactly the same, we expect that there is a clear relationship between the evaluation score and the merit allocation.
11. Q. *Can we modify the University Performance Evaluation form?*
- A. No, the form cannot be modified this is to ensure the forms are consistent.
12. Q. *Is this form used to evaluate faculty who have administrative responsibilities?*
- A. No, faculty members will be evaluated as part of the regular faculty evaluation process.
13. Q. *What resources are available for employee development?*
- A. There are a number of training programs available to all employees of the University through the Office of Human Resources "Get Trained" training series. The program series is offered twice a year and includes a variety of Procedural Programs (how to do business at Boston University) and Professional Development (how to improve on a variety of individual and personal skills). The programs are available to all employees of the university; they are held on campus and are offered at no cost. To access the programs, please visit [www.bu.edu/training](http://www.bu.edu/training)
14. Q. *Can employees complete self evaluations?*
- A. Yes, although not required, a manager or supervisor may offer an employee the opportunity to complete a self evaluation.
15. Q. *Where can I access the Performance Evaluation Forms?*
- A. The forms (both exempt and non-exempt) can be accessed on the Office of Human Resources website [www.bu.edu/hr](http://www.bu.edu/hr) The form will be in Word 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.

16. Q. *Why are there two forms and what are the differences between the two?*
- A. One form is used for non-exempt, non-represented staff (grades 21-26) and the second form is used for exempt staff (grades 51 and 71 and above). The similarities to the forms are: the purpose, the general Performance Categories, the Performance Factors, Goals, and Areas for Development. The main difference is in the first section: the Exempt form has Goals and Accomplishments and the Non-exempt form has Key Job Responsibilities
17. Q. *Are these forms different than the represented L2324 Performance Evaluation forms?*
- A. Yes, there is a separate L2324 Performance Evaluation form which is used by supervisors to evaluate performance of employees represented by L2324.
18. Q. *Is there additional training available to supervisors if they would like to learn more about completing an evaluation form or conducting a performance evaluation meeting?*
- A. Yes, there are two specific training programs being offered as part of the Get Trained training series. One program is for completing the evaluation form and the second is on conducting a performance evaluation meeting. For specific times, dates and to register, please visit the HR training site at [www.bu.edu/hr/training](http://www.bu.edu/hr/training)

Sample Performance Evaluation Form (EXEMPT)



**Performance Appraisal**

**Exempt**

**Employee Name:** \_\_\_\_\_ **Job Title:** \_\_\_\_\_

**Evaluator Name:** \_\_\_\_\_ **Unit/Department:** \_\_\_\_\_

**Date of Appraisal:** \_\_\_\_\_ **Performance Evaluation Period:** \_\_\_\_\_

***PURPOSE OF PERFORMANCE APPRAISALS***

The written performance appraisal 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 appraisal should not replace day to day supervision and communication.

**General Performance Categories**

**Exceptional:** Employee's performance is consistently outstanding.

**Exceeds Expectations:** Employee's performance is clearly above average. Accomplishments are significant and above the standard of the job responsibilities

**Meets Expectations:** Employee's performance meets all essential job requirements. Accomplishments are in accordance with the standards of the position.

**Below Expectations:** Employee's performance requires some improvement to make full contribution to the department and job in order to meet the standards of the position

**Unacceptable:** Employee's performance is well below the expectation of the job and requires a specific plan of action to correct noted deficiencies

## Section I: GOALS AND ACCOMPLISHMENTS

Identify goals and accomplishments. Write each goal and accomplishment and comment on the performance and results.

**Accomplishment:**

COMMENTS:

**Accomplishment:**

COMMENTS:

**Accomplishment:**

COMMENTS:

## Section II: PERFORMANCE FACTORS

Review the performance factors below and check the performance category. Please include any additional performance factors important to this job. Indicate specific areas of improvement needed in the comment section if the evaluation is “**Below Expectations**” or “**Unacceptable**”.

### 1) JOB KNOWLEDGE

Understands job duties and responsibilities. Understands and adheres to the department's and University's policies and procedures.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## 2) 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.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## 3) WORK QUALITY/PRODUCTIVITY

Produces a sufficient volume of work to meet job requirements and meets deadlines. Demonstrates accuracy and thoroughness. Meets position and organizational objectives. Identifies ways to improve and promote quality. Applies feedback to improve performance. Monitors own work to ensure quality.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## 4) 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.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## 5) DEPENDABILITY

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

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## 6) 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.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## 7) 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.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## Section III: PERFORMANCE SUMMARY:

Based on the Goals and Accomplishments (Section I) and Performance Factors (Section II) indicate the employee's overall performance.

### OVERALL RATING:

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## Section IV: GOALS FOR NEXT YEAR:

List the "Goals" for the employee during upcoming year.

**Section V: AREAS OF DEVELOPMENT/IMPROVEMENT:**

Specify learning and developmental needs. Indicate areas where improvement is necessary or areas for potential growth and development, performance and or future assignments.

**Section VI: SIGNATURES**

\_\_\_\_\_  
Supervisor's Signature Date

\_\_\_\_\_  
Department Head's or Designee's Signature Date

\_\_\_\_\_  
Employee's Signature Date

**Employee Comments:**

Sample Performance Evaluation Form (NON-EXEMPT)



**Performance Appraisal**

**Non-Exempt**

Employee Name: \_\_\_\_\_ Job Title: \_\_\_\_\_

Evaluator Name: \_\_\_\_\_ Unit/Department: \_\_\_\_\_

Date of Appraisal: \_\_\_\_\_ Performance Evaluation Period: \_\_\_\_\_

**A. PURPOSE OF PERFORMANCE APPRAISALS**

The written performance appraisal 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 appraisal should not replace day to day supervision and communication.

**General Performance Categories**

**Exceptional:** Employee's performance is consistently outstanding.

**Exceeds Expectations:** Employee's performance is clearly above average. Accomplishments are significant and above the standard of the job responsibilities

**Meets Expectations:** Employee's performance meets all essential job requirements. Accomplishments are in accordance with the standards of the position.

**Below Expectations:** Employee's performance requires some improvement to make full contribution to the department and job in order to meet the standards of the position

**Unacceptable:** Employee's performance is well below the expectation of the job and requires a specific plan of action to correct noted deficiencies

## Section I: KEY JOB RESPONSIBILITIES

Identify the key responsibilities of this job. Write each key job responsibility and comment on the performance and results.

**Job Responsibility:**

**Job Responsibility:**

**Job Responsibility:**

## Section II: PERFORMANCE FACTORS

Review the performance factors below and check the performance category as it relates to the key job responsibilities in Section I. Please include any additional performance factors important to this job. Indicate specific areas of improvement needed in the comment section if the evaluation is “**Below Expectations**” or “**Unacceptable**”.

### 1) JOB KNOWLEDGE

Understands job duties and responsibilities. Understands and adheres to the department’s and University’s policies and procedures.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

### 2) DECISION MAKING AND PROBLEM SOLVING

Demonstrates sound judgment in making decisions and solving problems within scope of authority. Gathers and analyzes relevant data to recommend and/or implement workable solutions within scope of authority.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

### **3) WORK QUALITY/PRODUCTIVITY**

Produces a sufficient volume of work to meet job requirements and meets deadlines. Demonstrates accuracy and thoroughness. Meets position and organizational objectives. Identifies ways to improve and promote quality. Applies feedback to improve performance. Monitors own work to ensure quality.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

### **4) DEPENDABILITY**

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

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

### **5) 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.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## **6) 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.

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## **Section III: PERFORMANCE SUMMARY:**

Based on the Key Job Responsibilities (Section I) and Performance Factors (Section II) indicate the employee's overall performance.

### **OVERALL RATING:**

Exceptional  Exceeds Expectations  Meets Expectations  Below Expectations  Unacceptable

Comments:

## **Section IV: GOALS AND KEY JOB RESPONSIBILITIES FOR NEXT YEAR:**

List the "Goals and Key Job Responsibilities" for the employee during upcoming year.



**Check List:**  
**Performance Evaluation Form**

Did You Remember To:

- Review the Job 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 Job Description.
- 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 Evaluation Review Meeting

### What is a Performance Evaluation 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 provokes 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 Job Description  
This helps to refresh your understanding of the duties and responsibilities of the position.
- Review the evaluation 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 Evaluation for the Employee  
A copy of the completed, signed Performance Evaluation 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 Evaluation Review Meeting?

The meeting itself focuses 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**

Did You 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.