



Boston University

Administrative Employees (Exempt and Non-Exempt excluding staff represented by Collective Bargaining Agreements)

Performance Evaluation Program Education Manual

October 2012

Human Resources

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TO: Vice Presidents, Deans, Directors and Department Heads

FROM: Peter Fiedler, Vice President for Administrative Services
Diane M. Tucker, Chief Human Resources Officer

RE: Boston University Performance Evaluation Program

DATE: October 3, 2012

The Boston University Performance Evaluation Program (BUPEP) has been designed to assist the management team in effectively aligning individual goals and performance with overall departmental and University operational objectives. This is the time of year, where each employee should receive formal feedback on their performance; identify areas for improvement and developmental goals for the next year.

The following information outlines the procedures that will be used in conducting the Performance Evaluation Program for administrative employees (exempt and non-exempt, excluding staff represented by collective bargaining agreements).

A Human Resources Consultant will be contacting areas reporting to you over the next few weeks to schedule training for exempt staff and administrators who have responsibility for completing the performance evaluation for staff. This session will provide an overview of the performance evaluation program, a review of the forms used, as well as a timeline and instructions on completing an employee's performance evaluation. Additional training is available through the Human Resources "Get Trained" training series. The BUPEP forms, schedule and training manual are available on the Human Resources website at www.bu.edu/hr under the "University Policies and Procedures" section.

In order to ensure the successful implementation of the BUPEP, please remember:

1. Schools/Departments are required to send completed copies of the performance evaluation forms to Human Resources where they will be placed in each employee's official personnel file
2. The BUPEP is utilized on both the Charles River Campus and Medical Center Campus.

If your school or department already has a performance evaluation process in place, and you would prefer to use it instead of the one being distributed by Human Resources, you must submit your forms and procedures electronically to Marilyn Walsh, Director of Employee Relations/Employment & Training (mawalsh@bu.edu) so that it can be reviewed and approved by Human Resources. Schools or departments that have previously received approval to use their own forms need not to seek additional approval.

We will distribute information regarding the merit increase pool over the next few weeks. Thank you very much for your anticipated cooperation.

cc: Jean Morrison, Provost and Chief Academic Officer
Karen Antman, Provost of the Medical Campus
Todd Klipp, Senior Vice President, General Counsel and Secretary of the Board of Trustees

Performance Evaluation Schedule
Administrative Employees
(Exempt and Non-Exempt, excluding staff represented
by collective bargaining agreements)

On or prior to October 5, 2012:

Schools and Departments will be notified about the 2012 Boston University Performance Evaluation Program (BUPEP). Performance evaluation forms and training manuals will be available on the Human Resources website at www.bu.edu/hr. Additional individual training is available if requested.

On or prior to November 26, 2012:

Supervisors should complete their employee's performance evaluations, and meet with those employees (in consultation with their Dean, Director or Department Head). Human Resources recommends that all meetings with employees be completed by this date, in case issues or conflicts need to be resolved.

On or prior to December 3, 2012:

Completed BUPEP forms are submitted to Human Resources.

Questions And Answers

Regarding The Performance Evaluation Process

1. Q. *Why is the performance evaluation process being conducted?*
A. This performance evaluation process has been developed to objectively evaluate the performance of employees and to inform those employees of how well they are performing their job duties.

2. Q. *Who will be evaluated during the 2012 performance evaluation process?*
A. All current administrative employees (exempt and non-exempt, excluding staff represented by Collective Bargaining Agreements) and exempt employees who are actively employed on or before September 30, 2012.

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 evaluations 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 evaluation on the employee's job performance from January 2012 through the date of the evaluation. For new employees hired in 2012, 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 evaluation process?*
A. The process begins with the supervisor reviewing the position responsibilities, duties, and knowledge required by the individual's position. Information on position requirements is contained in the employee's Position 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 evaluation 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.

At this meeting, the supervisor will discuss with the employee his or her evaluation of the employee's level of job performance. The employee will have the opportunity to comment on the evaluation 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 Evaluation form. If, after an appropriate interval (24 hours), 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. 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. *Can we modify the University Performance Evaluation form?*

A. No, the form cannot be modified this is to ensure the forms are consistent.

8. 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.

9. 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

10. 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.

11. 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 www.bu.edu/hr The forms 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.

12. Q. *Why are there two forms and what are the differences between the two?*

A. One form is used for non-exempt staff (grades 21-26 -excluding staff represented by a collective bargaining agreement) 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 Responsibilities

Supervisor: Please rate the employee on each of the performance factors included on the second page of this form. Please check only one box for each factor. For any performance factor which does not apply to the employee's responsibility, please check "Not Applicable."

<u>PERFORMANCE FACTORS*</u>	Exceeds Expectations	Meets Expectations	Below Expectations	Not Applicable
Job Knowledge	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Decision Making And Problem Solving	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Quality/Productivity	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Dependability	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Communications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Interpersonal Relationships	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Safety	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Leadership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OVERALL RATING	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

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.

Not Applicable: General performance category does not apply to position held by employee.

SUPERVISOR COMMENTS:

GOALS AND KEY RESPONSIBILITIES FOR NEXT YEAR :

AREAS OF IMPROVEMENT:

Supervisor Signature: _____ Date: _____

Department Head or Designee Signature: _____ Date: _____

Employee Signature: _____ Date: _____

EMPLOYEE COMMENTS:

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: _____

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.

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.

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:

Job Title:

Evaluator Name:

Unit/Department:

Date of Evaluation:

Performance Evaluation Period:

PURPOSE OF PERFORMANCE EVALUATIONS

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

Did the employee fulfill the key responsibilities of the position for this evaluation period?
Please comment on the employee's performance.

Yes No

COMMENTS:

Supervisor: Please rate the employee on each of the performance factors included on the second page of this form. Please check only one box for each factor. For any performance factor which does not apply to the employee's responsibility, please check "Not Applicable."

<u>PERFORMANCE FACTORS*</u>	Exceeds Expectations	Meets Expectations	Below Expectations	Not Applicable
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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.

Not Applicable: General performance category does not apply to position held by employee.

SUPERVISOR COMMENTS:

GOALS AND KEY RESPONSIBILITIES FOR NEXT YEAR:

AREAS OF IMPROVEMENT:

Supervisor Signature _____ Date _____

Department Head or Designee Signature _____ Date _____

Employee Signature _____ Date _____

EMPLOYEE COMMENTS:

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: _____

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.

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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

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 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 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 evaluation meeting is held:

- Review the Position 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 or her 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 evaluation 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.