



Northeastern University

RESETTING STAFF PERFORMANCE MANAGEMENT

Information for Staff

Spring 2010

Copyright ©2010 by The Segal Group, Inc., parent of The Segal Company and its Sibson Consulting Division. All Rights Reserved.



★ SIBSON CONSULTING
A DIVISION OF SEGAL

Introduction

1. Why are we making changes to the staff performance management system?
2. What's New and What's Changing?
3. What are the tools and resources for managers and staff?

The University is adopting a more robust staff performance management system:

- Foster a climate of staff accountability and development
- Support a high performance culture

Success requires

- Resetting the way managers and staff think about and execute performance management
- Leadership support
- Managerial expertise
- Staff engagement



Leadership Support

In the fall the University chartered a Committee of Senior Leaders to develop a phased plan to accomplish these goals

Committee Members:

Judith Pitney – Vice Provost for Budget, Planning & Administration

Tom Nedell – Vice President and Chief Financial Officer

Madeleine Estabrook – Director of UHCS

Kater Pendergast – Vice President, HRM

Tim Kenneally – Senior Director of Finance and Administration for Advancement

Cheryl Whitfield – Director of HR Programs & Employee Relations

Susan Batutis – Compensation Manager, HRM

Committee partnered with external consultant

Karen Hutcheson, Senior Vice President, Sibson Consulting

- Broad expertise in consulting to higher education
- Leader of Sibson's Higher Education Consulting Team



What's New and What's Changed

What's New?

- New, clear Performance Rating definitions
- Self-Assessment form and suggested preparation questions to engage staff more fully in the performance management process
- Training for managers to build expertise in performance management skills

What's Changed?

- Minor modifications to current Appraisal Forms to support the new performance rating definitions



New Staff Performance Rating Definitions

New, clear staff performance rating definitions are the foundation of the effort to strengthen the performance review cycle.

- Moving from numerical ratings – labels but no definitions – to narrative definitions
- Narrative definitions
 - Are more complete
 - More fully describe different levels of performance
 - Provide greater clarity
 - Provide greater opportunity for discussions about performance



New Staff Performance Rating Definitions *continued*

- Intended to convey the University's performance standards across a wide variety of roles and responsibilities. Specific definitions are provided for the sections below:
 - **Major Responsibility Areas**
 - Standards to be used in assessing employee performance in his/her major responsibility areas
 - **Overall Rating**
 - Standards to be used in assessing employee performance in:
 - » Achievement of overall job responsibilities and goals
 - » Customer service
 - » Contribution to the University/department
 - » Interactions with colleagues and others
 - » Professional growth
 - **New or Recently Promoted Employees**
 - Similar standards as those for continuing employees, with consideration for the normal acclimation of the employee to a new role and workplace



New Staff Performance Rating Definitions *continued*

**Northeastern's Core Standard
for Staff Performance defines
a competent, successful,
valued contributor to the
University**



**Fully Meets
Expectations**

Additional Performance Ratings

**Consistently
Exceeds
Expectations**

**Frequently Exceeds
Expectations**

**Partially Meets
Expectations**

**Does Not Meet
Expectations**



New Staff Performance Rating Definitions *continued*

CORE STANDARD FOR STAFF PERFORMANCE

FULLY MEETS EXPECTATIONS	
As Applied to Major Responsibility Areas	<ul style="list-style-type: none"> Consistently and completely meets established expectations for major responsibility area(s), in terms of quality, timeliness, processes, results, etc. Uses understanding and experience to assess situations, prioritize and solve problems, and make appropriate decisions to reach a satisfactory conclusion, especially in situations that are outside the usual definition of the job. Develops and maintains effective relationships with customers and colleagues, as appropriate for the role, and is responsive to their needs. Demonstrates a command of job responsibilities to execute own work and a commitment to quality.
As Applied to the Overall Rating <i>(All elements must be achieved for the rating to apply)</i>	<ul style="list-style-type: none"> Consistently and completely meets expectations. Contributes to the broader goals of the department/function and/or Northeastern. <i>AND</i> Understands impact and implications of how individual job and department responsibilities relate to other departments/functions and working relationships with other employees across and outside (if applicable) of the University. <i>AND</i> Establishes and maintains effective colleague relationships both internally and externally. <i>AND</i> Uses understanding and experience to assess situations, prioritize and solve problems, and make appropriate decisions to reach a satisfactory conclusion, especially in situations that are outside the usual definition of the job. <i>AND</i> Demonstrates a commitment to quality. <i>AND</i> Keeps customer (internal or external or both) as the focal point of work and responds in a timely manner to customer needs and concerns. <i>AND</i> Effectively handles both predictable and unpredictable situations within context of job responsibilities. <i>AND</i> Demonstrates command of job responsibilities to execute own work with minimal guidance from manager and utilizes resources appropriately to achieve results. <i>AND</i> Demonstrates ownership for work and strengthens own expertise through an active commitment to continuous learning.
As Applied to a New or Recently Promoted Employee	<ul style="list-style-type: none"> This would be an appropriate designation for new employees still learning the job, if their performance is consistent with the normal expectations for a new employee with similar skills, experience and capabilities.



New Staff Performance Rating Definitions *continued*

ADDITIONAL PERFORMANCE RATINGS

FREQUENTLY EXCEEDS EXPECTATIONS	
As Applied to Major Responsibility Areas	Frequently exceeds established expectations for major responsibility area(s), in terms of quality, timeliness, processes, results, etc. Frequently takes the initiative in organizing, prioritizing and solving problems and makes appropriate decisions to reach a satisfactory conclusion, especially in situations for which little precedent exists. Demonstrates a strong commitment to the quality and effectiveness for self and others. Develops and maintains effective customer and colleague relationships, as appropriate for the role, anticipating and responding to their needs. Exhibits strong knowledge, skills and competencies for the job and is well-regarded by others.
As Applied to the Overall Rating <i>(All elements must be achieved for the rating to apply)</i>	<ul style="list-style-type: none"> Frequently exceeds expectations. Contributes considerably to the broader goals of the department/function and/or Northeastern. <i>AND</i> Frequently anticipates the implications of working with other departments/functions and understands how it relates to own area/function. <i>AND</i> Develops and maintains effective working relationships across and outside (if applicable) of the University. <i>AND</i> Frequently takes initiative in organizing, prioritizing and solving problems, and makes appropriate decisions to reach a satisfactory conclusion, especially in situations for which little precedent exists. <i>AND</i> Demonstrates a strong commitment to quality and effectiveness for self and others. <i>AND</i> Frequently strives to keep customer (internal or external or both) as the focal point of work, responds in a timely manner to customer needs and concerns, and understands customer perspectives. <i>AND</i> Frequently anticipates and takes on additional duties beyond core job with the same degree of seriousness, care and thoroughness as demonstrated in regular job responsibilities. <i>AND</i> Exhibits strong knowledge, skills and competencies. <i>AND</i> Regularly seeks opportunities to build and/or strengthen own knowledge and skills.
As Applied to a New or Recently Promoted Employee	<ul style="list-style-type: none"> The rating "Frequently Exceeds" reflects a high level of performance and while new or newly promoted employees are not prohibited from being rated "Frequently Exceeds", this designation should be used with caution. This rating is difficult to achieve as it requires observation of performance over time and high levels of performance in a variety of areas that may not be observable within the first year in a new job.



New Staff Performance Rating Definitions *continued*

ADDITIONAL PERFORMANCE RATINGS

CONSISTENTLY EXCEEDS EXPECTATIONS

As Applied to Major Responsibility Areas	<p>Clearly and consistently exceeds established expectations for major responsibility area(s), in terms of quality, timeliness, processes, results, etc. Takes the initiative in organizing, prioritizing and solving problems and makes appropriate decisions to reach a satisfactory conclusion, especially in complex or unprecedented situations. Demonstrates a strong commitment to the highest standards of quality and effectiveness, and expects the same of others. Develops and maintains effective customer and colleague relationships, as appropriate for the role, anticipating and responding to their needs in an exemplary manner. Consistently exhibits mastery of knowledge, skills and competencies and is considered a role model of excellence for others.</p>
As Applied to the Overall Rating <i>(All elements must be achieved for the rating to apply)</i>	<ul style="list-style-type: none"> • Clearly and consistently exceeds all job expectations in an exemplary manner. Contributes significantly to the broader goals of the department/function and/or Northeastern. <i>AND</i> • Is consistently proactive in collaborating with and identifying implications of working with other departments/functions. <i>AND</i> • Develops new and maintains existing working relationships with other employees across and outside (if applicable) of the University, and effectively utilizes those networks to enhance performance of self and others. <i>AND</i> • Takes initiative in organizing, prioritizing and solving problems, and makes appropriate decisions to reach a satisfactory conclusion, especially in complex or unprecedented situations. <i>AND</i> • Demonstrates a strong commitment to the highest standards of quality and effectiveness, and expects the same of others. <i>AND</i> • Consistently keeps customer (internal or external or both) as the focal point of work by anticipating customer perspectives, proactively addressing customer needs and concerns, following up to ensure customer satisfaction, and providing customers with additional support. <i>AND</i> • Anticipates and takes on additional duties beyond core job with the same degree of seriousness, care and thoroughness as demonstrated in regular job responsibilities. <i>AND</i> • Consistently exhibits mastery of knowledge, skills and competencies and is considered a valuable resource to others. <i>AND</i> • Is considered a role model of excellence for others. <i>AND</i> • Proactively and frequently identifies and suggests new opportunities for continuous learning and development (e.g., tools, resources).
As Applied to a New or Recently Promoted Employee	<ul style="list-style-type: none"> • The designation of “Consistently Exceeds” reflects a level of performance that is far beyond normal expectations. It is a difficult designation to achieve and is only given in rare and exceptional circumstances. It requires observation of performance over time and at consistently high levels that may not be observable within the first year of a new job.



New Staff Performance Rating Definitions *continued*

ADDITIONAL PERFORMANCE RATINGS

PARTIALLY MEETS EXPECTATIONS	
As Applied to Major Responsibility Areas	Does not consistently meet established expectations for major responsibility area(s), in terms of quality, timeliness, processes, results, etc. Is not consistently reliable in handling own job responsibilities and needs more supervision than is expected. May not develop or maintain effective working relationships with customers or colleagues. Needs to further build his/her knowledge, skills and competencies to become more proficient in handling the work.
As Applied to the Overall Rating	<ul style="list-style-type: none">• Does not consistently meet expectations. This may mean that some expectations are achieved and others are not, or that expectations are only partially met. <i>OR</i>• Does not satisfactorily or consistently contribute to the department/function's performance. <i>OR</i>• Is not consistently reliable in handling own job responsibilities appropriately. <i>OR</i>• Does not consistently keep customer (internal or external or both) as the focal point of work. <i>OR</i>• Needs more supervision than is expected for the nature of the job, either to ensure that the work gets done or to ensure quality. <i>OR</i>• Needs further building of knowledge, skills and competencies to becoming more proficient.
As Applied to a New or Recently Promoted Employee	<ul style="list-style-type: none">• While new employees may not effectively perform all job responsibilities in their first year with Northeastern, this designation should only be used if the new employee is not meeting the normal expectations for someone with similar skills, experience and capabilities who is still learning the job and becoming acclimated to the institution.

This performance rating reflects performance that does not fully meet expectations and as such indicates the need for follow-up discussions, development of an improvement plan, and/or consultation with HR.



New Staff Performance Rating Definitions *continued*

ADDITIONAL PERFORMANCE RATINGS

DOES NOT MEET EXPECTATIONS	
As Applied to Major Responsibility Areas	Does not meet established expectations for major responsibility area(s), in terms of quality, timeliness, processes, results, etc. Does not demonstrate the knowledge, skills or competencies to handle job responsibilities and requires significant supervisor involvement to ensure work is correctly completed. Does not develop or maintain effective customer or colleague relationships.
As Applied to the Overall Rating	<ul style="list-style-type: none">• Does not meet job responsibilities, expectations and goals. <i>OR</i>• Does not demonstrate the knowledge, skills or competencies to handle job responsibilities. <i>OR</i>• Does not effectively contribute to the department's performance. <i>OR</i>• Does not keep customer (internal or external or both) as the focal point of work. <i>OR</i>• May require significant involvement of supervisor to ensure that work is done completely and correctly, and to fix problems/potential problems.
As Applied to a New or Recently Promoted Employee	<ul style="list-style-type: none">• Unsatisfactory performance could have a number of possible causes. It is important to quickly identify the cause, determine if it can be resolved, and develop a plan to improve performance. The timeframe and process for improving performance as well as the consequences of not improving should be clearly articulated.

This performance rating indicates a serious misalignment between the employee and the job. Consultation with HR is required.



Self-Assessment

- Self assessment is an effective tool in fostering greater employee engagement in the performance evaluation process
 - It helps to facilitate a comprehensive review of progress and accomplishments over the past year
 - It is an effective tool for helping staff self-identify strengths and expertise, areas of interest, and areas for improvement and development
- Two tools have been developed for use as determined by department management
 - The Self-Assessment Form can be completed in advance by the employee and formally shared with the manager as part of the appraisal process
 - The Suggested Self-Assessment Questions tool is a series of questions that can help the employee prepare for the appraisal conversation
- Use of one or both of these tools is strongly encouraged across the University



Self-Assessment Form & Questions

Performance Management Self-Assessment Form

Performance Review Period: (MM/DD/YYYY) from <input type="text"/> to <input type="text"/>	
Employee Name: <input type="text"/>	Date: <input type="text"/>
Job Title: <input type="text"/>	Department: <input type="text"/>
Supervisor's Name: <input type="text"/>	

Instructions

Please complete and return this self assessment to your supervisor by _____.

Your thorough and timely participation in the appraisal process will help facilitate a fair and comprehensive review of your progress and accomplishments since the last performance review.

Supervisors: Attach completed self assessments to the employee's performance appraisal and return to HR.

1. List your most significant accomplishments or contributions since last year. How do these achievements align with the goals/objectives outlined in your last performance review?

2. In what aspects of your job do you feel you need more experience and training? List steps you propose to take and resources that might be needed to accomplish them.

3. Please describe capabilities or skills that are not currently fully utilized.

4. Please identify any areas where you think improvement is needed.

Performance Management Suggested Self-Assessment Questions

Note: This set of questions is intended to help you organize your thoughts and prepare for your performance discussion. There is no expectation that each of these be answered formally. These questions may be used in addition to or instead of the Self-Assessment form.

Self Appraisal – Know Yourself!

1. What do I consider to be my strengths performing my job?
2. What are my major accomplishments for the past year?
3. In what areas of my job do I need to improve?
4. What are the ways in which my supervisors can help me to do my job better?
5. In what aspects of my job do I feel I need more experience and training?
6. What have I done for my personal and/or professional development?
7. Are there any changes I would like to see made in my job which would improve my effectiveness?
8. Are all of my capabilities being utilized in my present position? If not, how can they be better utilized?
9. What are my professional goals for the next year?
10. What are the specific things I need to do in the next year for my own development?

Thank you for taking the time to complete the Employee Self Assessment.



Northeastern University



Northeastern University

Administrative/Professional Appraisal Form

- The format of the ratings on the Annual Appraisal Form have been modified slightly, but the form itself will continue to be used as a primary component in the performance management process.

Northeastern University
Human Resources Management

Annual Performance Appraisal Form
Administrative and Professional Staff

Employee Name _____ Appraisal Date _____ Hire Date _____
VPI/College _____ Department Name _____ Time in Position _____
Position Title _____ Supervisor's Signature _____
Next Level Manager's Signature _____ Employee's Signature*

* Employee's signature implies neither agreement nor disagreement with this appraisal. The signature indicates only that the employee has read this evaluation and discussed it with the supervisor.

I. PERFORMANCE REVIEW (Use additional sheets if necessary)

A. Major Responsibility Area: _____

• Expected Level of Performance: _____

• Actual Performance Results: _____

• How does this support the University and/or Department goals?: _____

Performance Rating: ☐ Consistently Exceeds ☐ Frequently Exceeds ☐ Fully Meets ☐ Partially Meets ☐ Does Not Meet Performance Weighting: _____

Employee Name _____

IV. DEVELOPMENT DISCUSSIONS

A. Recommendations for Development (List specific recommendations to facilitate continued employee development for professional growth.) _____

B. Performance Improvement Requirements (List specific areas in which performance did not meet expectations and improvement is necessary.) _____

C. Actions to be taken by Employee/Supervisor (i.e., related to specific recommendations and/or requirements in either A or B above) _____

Development activities that specifically support the University and/or Department goals? _____

V. OVERALL PERFORMANCE RATING

☐ Consistently Exceeds ☐ Frequently Exceeds ☐ Fully Meets ☐ Partially Meets ☐ Does Not Meet*

* Strongly recommend consultation with Human Resources Management.

VI. EMPLOYEE COMMENTS (Optional)

The format of the performance ratings changed from rating name and number (e.g., consistently meets 3) to rating name. Performance rating names were also modified slightly.



Office Support and Technical Staff Appraisal Form

- The format of the ratings on the Annual Appraisal Form have been modified slightly, but the form itself will continue to be used as a primary component in the performance management process.

Northeastern University
Human Resources Management

Annual Performance Appraisal Form
Office Support and Technical Staff

Employee Name _____ Date _____
Position Title _____
College/Division _____ Department Name _____
Supervisor's Signature _____ Employee's Signature* _____

* Employee's signature implies neither agreement nor disagreement with this appraisal. The signature indicates only that the employee has read this evaluation and discussed it with the supervisor.

I. PERFORMANCE REVIEW

Instructions

- Please review the employee's job description and use the description to assist in completing this form.
- Indicate the appropriate "Performance Rating" for each performance factor using the ratings below and the Performance Rating Definitions, which can be found on the HRM website.
- Use the comments and examples sections to cite job-related examples of performance, major strengths, significant achievements, target areas for improvement, etc.
- Comments and Examples are strongly encouraged.

Performance Ratings

- Consistently Exceeds Expectations.
- Frequently Exceeds Expectations.
- Fully Meets Expectations.
- Partially Meets Expectations.
- Does Not Meet Expectations

II. DEVELOPMENT DISCUSSIONS

A. Performance Improvement Requirements (List specific areas in which performance did not meet expectations and improvement is necessary.) _____

B. Recommendations for Development (List specific recommendations to facilitate continued employee development for professional growth.) _____

C. Actions to be taken by Employee/Supervisor (i.e., related to specific recommendations and/or requirements in either A or B above) _____

III. OVERALL PERFORMANCE RATING

☐ Consistently Exceeds ☐ Frequently Exceeds ☐ Fully Meets ☐ Partially Meets ☐ Does Not Meet*

*Strongly recommend consultation with Human Resources Management

IV. EMPLOYEE COMMENTS (Optional)

The format of the performance ratings changed from rating name and number (e.g., consistently meets 3) to rating name. Performance rating names were also modified slightly.



Next Steps

- The 2010 performance evaluation process will begin once managers and staff have been briefed
- Managers may utilize self-assessment tools
- Performance evaluations and conversations should be conducted by May 4, 2010
- Remember, salary increase decisions are merit-based and ultimately managers will make salary increase determinations based on overall contribution and performance, using the definitions

