

LLEINST 1200J
8 January 2016

LLE INSTRUCTION 1200J

SUBJECT: PERFORMANCE EVALUATIONS AND SALARY REVIEW

REFERENCES: a. University of Rochester Personnel Policies #191–210
 b. LLE Instruction 1310F

ENCLOSURES: (1) Annual Performance Evaluation and Salary Review Process Schedule
 (2) Faculty-Equivalent Staff Annual Activity Report
 (3) PAS and Non-Exempt Staff Performance Evaluation Input
 (4) Faculty-Equivalent Staff Performance Evaluation Form
 (5) PAS & Non-Exempt Staff Performance Evaluation Form
 (6) PAS & Non-Exempt Competency Area Descriptions

1. **Purpose:** To promulgate procedures and guidelines for the annual faculty-equivalent staff (FE), professional and administrative staff (PAS), and non-exempt employee evaluation and salary review processes.
2. **Discussion:** Performance evaluations provide a formal assessment of employee competency levels in defined areas. Concomitantly, they highlight accomplishments and major tasks completed during the previous year and establish or reinforce goals and objectives. Annual evaluations should not, however, be the only assessment of performance. Supervisors should provide regular feedback to employees: clarifying and modifying performance goals and expectations, identifying unacceptable performance practices, providing resources to aid in improving competency levels, and acknowledging superior efforts or achievements. Performance evaluations should not introduce performance deficiencies that have not previously been discussed with the employee and have not been raised to the attention of the Division Director.
3. **Procedures:**
 - a. The overall schedule for the annual performance evaluation and salary review is given in Enclosure (1). Using Enclosure (1), Human Resources will prepare a specific schedule each year. Since this is a sequential process, it is important that each phase is completed on time.
 - b. Performance evaluations are prepared for all staff annually, at the end of probationary period, and when warranted, e.g., to document poor performance.
 - c. Salary increases are given annually and for special circumstances, e.g., mid-year promotion.
 - d. Human Resources is responsible for preparing and distributing Faculty-Equivalent Staff Activity Reports and PAS and Non-Exempt Staff Input Forms [Enclosures (2) and (3)] and

Performance Evaluation Forms [Enclosures (4) and (5)] to the appropriate supervisors. Supervisors in turn are responsible for distributing the Input Forms to their subordinates.

- e. The Staff Input Forms are completed by each employee by listing all major accomplishments and tasks undertaken and/or achieved during the past year and stating personal and professional goals for the successive year(s). These forms may be completed by hand so long as they are legible. These input forms will be attached to the evaluation and will become part of the evaluation.
- f. Supervisors should complete Performance Evaluation Forms following the guidance of Enclosure (6) (competency area descriptions), Employee Input Forms, and personal observations.
- g. Each Division Director should rank all division personnel from 1 to n by position (Senior Scientist, Scientist, Research Engineer, Senior Laboratory Engineer, etc. The divisional ranking should be across all Groups in the Division, e.g., if the total Scientists in all Groups within the Division is 10, then they should be ranked from 1 to 10. Division Directors should get group rankings from 1 to n by position from Group Leaders.
- h. After Divisional rankings are completed, the Division Directors will meet to determine the laboratory ranking (i.e., across all Divisions) from 1 to n by position. This laboratory ranking for all positions will be submitted by the Administrative Director to the Laboratory Director for approval concurrent with the submission of Senior Scientist and Scientist draft evaluations to the Director for review.
- i. Draft evaluations are to be submitted to the applicable Division Director for review prior to reviewing the evaluation with the employee. Draft evaluations for Senior Scientists, Scientists, and Research Associates are to be submitted by the Division Director to the Laboratory Director for review prior to reviewing the evaluation with the employee.
- j. Concurrent with the submission of draft evaluations, the supervisor should forward recommendations for promotion of PAS and non-exempt staff via his Group Leader to the Division Director. Division Directors will review promotion recommendations and forward them to the Administrative Division Director. Note: promotion recommendations for faculty-equivalent staff (to Senior Scientist, Scientist, or Research Engineer) are covered in Reference b.
- k. Supervisors are responsible for reviewing approved performance evaluations with each employee individually and confidentially. This should be a sit-down session and not simply a quick read of the evaluation. It is recommended that the employee be given a copy of their evaluation at this time. Employees have the opportunity to comment verbally and attach written remarks to the Performance Evaluation Form if they so desire. Evaluation forms are signed by the supervisor, employee, and Division Director in turn and then submitted to the Administrative Division Director. If an employee chooses not to sign the performance evaluation, the supervisor should note this on the evaluation form and indicate the date that the performance evaluation review was conducted with the employee.

- l. The annual salary program is initiated by the Administrative Division Director via the Salary Review database by division and by distributing it and salary guidance to the Division Directors. The Division Directors enter the salary inputs for their division and submit their divisional input to the Administrative Division Director concurrent with completed evaluations. The salary inputs are compiled and analyzed by the Administrative Division Director for appropriateness and equity within LLE and with the market. The completed salary package is reviewed and approved by the LLE Director.
- m. The LLE Director submits the total salary package and promotions to the Provost for approval. After approval of the package by the Provost, the salary and promotion package is reviewed with representatives from River Campus Human Resources and University Compensation. New salaries are prepared for each employee and submitted to PERC for processing.
- n. Letters from the LLE Director are prepared and distributed to each employee detailing the salary increase and promotion, as applicable.

4. Responsibilities:

a. Employees:

- (1) Complete Employee Input Forms and submit them to supervisor by the date indicated.
- (2) Review Performance Evaluations with supervisor and submit comments as warranted.
- (3) Participate in ongoing discussion process with supervisor throughout the year concerning performance and goals.

b. Supervisors:

- (1) Collect Employee Input Forms and review.
- (2) Prepare Performance Evaluations for all subordinates and submit drafts via the Group Leader to Division Director by date indicated.
- (3) Review Performance Evaluations individually and confidentially with subordinates. Discuss competency areas and overall contributions.
- (4) Participate in ongoing discussions with subordinates throughout the year concerning performance and goals.

c. Group Leaders:

- (1) Submit group employee rankings 1 to n by position to the Division Director by the date indicated.
- (2) Review draft evaluations and promotion recommendations and submit them to the Division Director.

d. Division Directors:

- (1) Rank division employees 1 to n by position.
- (2) Together with other Division Directors rank employees 1 to n by position across the laboratory.
- (3) Submit Senior Scientist and Scientist evaluations to the Laboratory Director for review.
- (4) Review and approve draft evaluations for divisional employees.
- (5) Collect and sign all completed Performance Evaluations and forward to the Administrative Division Director.
- (6) Submit salary increase recommendations for all employees and contractors, including promotion of PAS/non-exempt for employees to Administrative Division Director.

e. Human Resources:

- (1) Distribute blank Performance Evaluations and Employee Input Forms to appropriate supervisors.
- (2) Update salary database with current information for employees eligible for salary increases.
- (3) Collect all completed evaluation forms and record overall performance levels in the salary database. Make one copy of all evaluations and alphabetize. File original Performance Evaluations in the employee's personnel file. One copy is given to University Compensation.
- (4) Work with Administrative Division Director to determine salary increases and promotions. Perform comparative analysis as necessary.
- (5) Prepare new salary rates for PERC after final approval is given by LLE Director and Provost.
- (6) Prepare letters to employees indicating new salary rates for review and signature by the LLE Director.
- (7) Coordinate with the Administration Division Programmer/Analyst to update the administrative information system database.

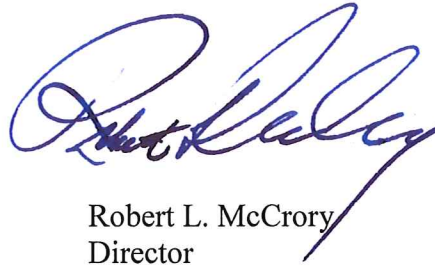
f. Administrative Division Director:

- (1) Compile all recommendations for salary increases and promotions from Division Directors. Perform an analysis of salary rates within and outside the Laboratory and recommend salary equity adjustments as warranted.
- (2) Submit the employee 1 to n laboratory rankings to the Laboratory Director for approval. Provide Division Directors with the 1 to n Laboratory ranking approved by the Laboratory Director.
- (3) Present the salary package to LLE Director for review and approval.

g. LLE Director:

- (1) Review and approve Senior Scientist and Scientist evaluations.
- (2) Review and approve employee Laboratory 1 to n ranking by position.
- (3) Review and approve the salary package.
- (4) Present the salary package to the Provost for approval.

5. **Approval:**



Robert L. McCrory
Director

**ANNUAL PERFORMANCE EVALUATION—SALARY REVIEW
PROCESS SCHEDULE**

3rd week of April	Distribute employee input forms to all LLE staff and inform them of the date (end of the 1st week of May) input is due to their supervisors.
4th week of April	Distribute performance evaluations to supervisors and inform them of evaluations are due to their Division Director by the 3rd week of May.
1st week of May	Employee input forms due to supervisors.
2nd week of May	Division Directors request group employee 1 to <i>n</i> ranking by position from Group Leaders
3rd week of May	Group Leaders submit group employee 1 to <i>n</i> ranking by position to the Division Director
3rd week of May	LLE supervisors/group leaders submit draft evaluations to their Division Director.
4th week of May	Division Directors complete divisional 1 to <i>n</i> ranking by position.
1st week of June	Division Directors complete a laboratory 1 to <i>n</i> ranking by position.
2nd week of June	Administrative Director provide the laboratory 1 to <i>n</i> ranking to the LLE Director for approval.
2nd week of June	Division Directors submit draft evaluations of Sr. Scientists, Scientists, and Research Associates to LLE Director.
3rd week of June	Reclassification recommendations from Division Director to Director, with confirmation to Administrative Director.
4th week of June	LLE Director approve 1 to <i>n</i> rankings and draft Sr. Scientist, Scientist, and Research Associate evaluations.
4th week of June	Administrative Director distributes laboratory 1 to <i>n</i> ranking by position ranking to Division Directors.
4th week of June	Division Director returns evaluations to supervisors. Supervisors begin reviewing with employees, due by the end of the 2nd week of July.
4th week of June	Overall review grades provided to Administrative Division.
4th week of June	Salary review database is opened to Division Directors.
1st week of July	Salary Review inputs are complete and sent to Administration.
2nd week of July	Evaluation reviews completed with employees.

2nd week of July	Signed original reviews returned to Administrative Division.
1st/2nd weeks of July	Salary analysis by Administrative Division. Contract (Nesco) employee salary review.
3rd week of July	LLE Director Salary review and approval.
3rd week of July	Salary Review meeting with Provost.
4th week of July	Salary Package Review meeting with Compensation.
4th week of July	Employee letters submitted for Director's signature.
1st/2nd weeks of September	Distribute letters to employees confirming new salaries.

LLE FACULTY-EQUIVALENT STAFF
Annual Activity Report

Name _____ FY _____ Date _____

Contributions to LLE Research Activities: (Summarize activities including campaigns and results achieved, indicate involvement as PI, Co-PI, theoretical, diagnostic, or other support.)

LLE Projects: (List formal projects for which you were PI or PC or code developments for which you were the lead and summarize results.)

Other Collaborative or Associated Research: (List sponsored research proposals submitted and grants awarded and/or collaborative research with scientists from other institutions, e.g., NLUF, LBS involvement, research/grant proposals.)

Academic Activities: [List courses taught and graduate students supervised (include year).]

External Activities: (List refereeing, review panels, editorial positions, professional development.)

Management Activities:

Other: (List other involvement/accomplishments not detailed above.)

Presentations and Publications: (Attach a listing of all external presentations and publications completed this FY.)

LLE PERFORMANCE EVALUATION EMPLOYEE INPUT FORM

NAME _____ EMPLOYEE ID # _____
DATE _____ JOB TITLE _____ GROUP _____

1. Describe accomplishments or objectives achieved during the past year. (Please limit to major goals or tasks; do not list routine activities.)

2. List proposed goals and/or professional growth opportunities for the coming year.

3. Additional Comments.

LLE FACULTY-EQUIVALENT PERFORMANCE EVALUATION

NAME _____ EMPLOYEE ID # _____
FE GRADE _____ GROUP _____ FUNCTIONAL POSITION _____

Evaluation of Core Competency Areas (Place an "X" in appropriate blocks.)					
Competency Area	Not Applicable	Unsatisfactory	Needs Improvement	Meets Expectations	Exceeds Expectations
Leadership and Management					
Experimental Contributions and Effectiveness					
Completion of Goals and Objectives					
Interpersonal Communications					
Presentations and Publications (quantity and quality)					
Subordinate/Student Development and Mentoring					
Development of Research Funding Initiatives					
Professional Service (Editorial/Review Positions)					
Overall Contributions/Effectiveness					

SUMMARY REMARKS (limit one page)

SUPERVISOR DATE

Typed Name of Supervisor

EMPLOYEE DATE

(Your signature indicates that you have read this performance evaluation, not that you necessarily concur. You may attach comments to this evaluation.)

DIVISION DIRECTOR DATE

COMMENTS ATTACHED () YES () NO

LLE PAS and NON-EXEMPT EMPLOYEE PERFORMANCE EVALUATION

NAME _____ EMPLOYEE ID # _____
START DATE _____ JOB TITLE _____ GROUP _____

Evaluation of Core Competency Areas (Place an "X" in appropriate blocks.)					
Competency Area	Not Applicable	Unsatisfactory	Needs Improvement	Meets Expectations	Exceeds Expectations
Technical Knowledge/Skills					
Progress Toward Goals/Objectives					
Interpersonal Communications					
Initiative/Resourcefulness					
Problem-Solving Abilities					
Organizational/Prioritization Skills					
Personal Accountability/Reliability					
Professional Development					
Supervisory/Management Skills					
Overall Contributions/Effectiveness					

SUMMARY REMARKS (limit one page)

SUPERVISOR DATE

Typed Name of Supervisor

EMPLOYEE DATE

(Your signature indicates that you have read this performance evaluation, not that you necessarily concur. You may attach comments to this evaluation.)

DIVISION DIRECTOR DATE

COMMENTS ATTACHED () YES () NO

Competency Areas

Enclosure (6)
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The following competency area examples should be used as a reference to assist you in assessing performance:

Technical Knowledge/ Skills	<ul style="list-style-type: none"> • Demonstrates comprehensive knowledge and experience in given position/field. • Knows and follows operational procedures and other processes directly related to performance on the job. • Successfully completes all required training/certification courses in a timely manner. • Applies knowledge proficiently and assimilates new info as required. • Uses information systems to accomplish tasks and projects. • Possesses ability to make independent decisions and takes appropriate actions.
Progress Toward Goals/Objectives	<ul style="list-style-type: none"> • Makes measurable progress toward approved goals and objectives. • Balances short- and long-range plans. • Develops realistic goals that are aligned with department, division, and group objectives. • Creates effective contingency plans.
Interpersonal Communications	<ul style="list-style-type: none"> • Demonstrates effective listening, verbal, and written skills to provide information clearly and in a timely fashion. • Encourages open expression of ideas and opinions. • Establishes rapport with others, fostering team spirit and cooperation. • Produces clear, timely reports and correspondence.
Initiative/ Resourcefulness	<ul style="list-style-type: none"> • Evaluates and recommends changes in methods or procedures affecting broad areas. • Exercises independent judgment to devise new approaches, solve problems, or plan actions to meet objectives. • Works willingly beyond ordinary requirements when necessary. • Generates new ideas and actively seeks new projects.
Problem-Solving Abilities	<ul style="list-style-type: none"> • Anticipates potential problems and develops preventative measures. • Identifies, clarifies, and researches problems to find the best solution. • Performs independent analysis and reasoning with attention to detail.
Organizational/ Prioritization Skills	<ul style="list-style-type: none"> • Analyzes work and sets initial priorities before involving others. • Manages multiple and changing priorities. • Suggests new and better ways of completing tasks. • Plans and schedules work with minimum supervision. • Effective resource management. • Maintains well-organized, functional workspace.
Personal Accountability/ Reliability	<ul style="list-style-type: none"> • Maintains regular and punctual attendance. • Keeps supervisor apprised of unexpected absences. • Takes responsibility for own work and provides support to others in accomplishing their work. • Adapts to changing situations. • Maintains confidentiality. • Sets high personal standards.
Professional Development	<ul style="list-style-type: none"> • Establishes annual goals and objectives. • Identifies personal and professional growth opportunities. • Proactively seeks feedback from others to improve work processes and levels of service. • Committed to self-development.
Supervisory/ Management Skills	<ul style="list-style-type: none"> • Delegates work to staff according to their level of skill and experience. • Develops a clear and reasonable work plan for others to accomplish objectives. • Provides technical guidance and training to staff. • Makes quick, effective decisions and is sensitive to their impact. • Gives specific feedback to staff on a continuing basis to encourage growth. • Encourages feedback from staff on a continuing basis. • Sets high team standards. • Assists in selection of qualified staff using predetermined criteria based on division's/group's needs. • Submits and manages approved budget, monitoring expenditures and making adjustments as necessary.
Overall Contributions/ Effectiveness	<ul style="list-style-type: none"> • General performance assessment based on summary of all competency areas. • Understands and contributes to goals of group/department. • Committed to quality in every facet of work. • Employee is asset to group/department.