Pay & Performance Overview

Objectives
- Provide a common foundation and consistent process for performance management
- Create consistent and fair process for pay decisions
- Link pay increases to performance
- Provide flexibility for units to expand on common foundation
- Define expectations for individual performance and opportunities for professional development

Performance Evaluation and Planning
- Duke is committed to linking the opportunity for annual pay increases to performance
- Performance evaluations will serve as the means to create this important link

Performance Evaluation and Planning (PEP) Form
The new Performance Evaluation and Planning (PEP) Form has two sections on two pages with expandable text sections.

1. Evaluation of Past Year
   - Job Responsibilities: responsibilities based on job description and other assigned duties.
   - Individual Goals: based on, and linked to, the needs and direction of the department.
   - Behaviors: describe “how” someone performed responsibilities and achieved goals (see page 2)*.
   - Overall Evaluation (required): overall evaluation of how an individual performed based on the results of his/her role responsibilities, individual goals and behaviors.

2. Planning for Coming Year
   - Individual Goals: lists the category of goals for the individual and a description of the goal and measures or targets.
   - Development Plan: identifies the skill or behavior improvement areas and individual needs to perform in their current job or prepare for a future job.

Self-Assessment Form
Self-assessment will be required for all management staff. Managers may also choose to use the self-assessment as part of the evaluation for their staff members. The self-assessment provides an opportunity to give feedback relative to key accomplishments, challenges and developmental needs from the perspective of the staff being evaluated.

For more information, visit www.hr.duke.edu/pep
Defining Levels of Performance

<table>
<thead>
<tr>
<th>Needs Improvement (NI)</th>
<th>Successful (S)</th>
<th>Exceptional (E)</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Individuals who are new in the learning curve and have not mastered key job</td>
<td>- Individuals who regularly meet and sometimes exceed expectations and role</td>
<td>- Individuals who significantly and consistently exceed expectations and role</td>
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<tr>
<td>responsibilities</td>
<td>requirements</td>
<td>requirements</td>
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<tr>
<td>- Inconsistently demonstrates or may be learning the required role knowledge and</td>
<td>- Meets goals set for the year</td>
<td>- Exceeds goals set for the year</td>
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<tr>
<td>does not yet fully perform all requirements and duties</td>
<td>- Possesses full depth and breadth of role knowledge</td>
<td>- Demonstrates exceptional depth and breadth of role knowledge, highly</td>
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<td>- Work is regularly incomplete and/or does not meet the minimal standards for</td>
<td>- Perceived by peers, managers, students and other customers as collaborative,</td>
<td>recognized by others within the University community</td>
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<tr>
<td>quantity or quality; often misses deadlines</td>
<td>skilled and reliable</td>
<td>- Demonstrates role model behavior for other supervisors/staff members to</td>
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<tr>
<td>- Takes little to no initiative, even with prompting</td>
<td>- Consistently interacts effectively with peers and/or management</td>
<td>emulate</td>
</tr>
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<td>- Requires more than the expected level of supervision due to lower quality work or</td>
<td></td>
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<tr>
<td>level of learning required to complete role successfully</td>
<td></td>
<td></td>
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<tr>
<td>- Inconsistent interactions with peers and/or management</td>
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</tbody>
</table>

*Guiding Behaviors for All Staff Members

- **Customer Focus** – Understand the needs and wants of Duke’s customers in order to provide accurate, complete and timely service
- **Teamwork** – Work cooperatively with others to achieve organizational and team goals
- **Creative Problem-Solving** – Create new and valuable ideas and use these ideas to solve problems and develop improved processes and methods
- **Continuous Learning** – Show a commitment to continuous learning and improvement of self, others, and Duke practices
- **Diversity** – Take full advantage of the rich backgrounds and abilities of all by recognizing and valuing differences, seeking inclusiveness, and considering and honoring differing points of view

**Additional Guiding Behaviors for Those Who Supervise Staff Members**

- **Strategic Communication** – Help develop a common vision by providing clear direction and priorities, clarifying roles and responsibilities, and promoting mutual understanding through effective communication
- **Performance Management** – Take the time to effectively plan and evaluate performance, provide feedback, recognition and coaching, and develop employees to be their personal best at Duke

**Process and Calendar**

The following are the key steps in the annual performance calendar:

- July
  - Identify and set goals and role responsibilities
  - Establish professional development action plan
- June
  - Managers conduct mid-year check-ins with staff
  - Evaluations completed, ratings submitted for review by senior administration
  - Administration develops salary planning budget
  - Salary guidelines developed
  - Pay decisions communicated