



# 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.

**Performance Evaluation and Planning (PEP) Form**

Duke University

Employee's Name: \_\_\_\_\_  
 Job Classification/Title: \_\_\_\_\_  
 Department: \_\_\_\_\_  
 Manager/Supervisor Name and Title: \_\_\_\_\_  
 Review Type and Date:  New Hire Evaluation Review  Annual Review

**Section 1: Evaluation of Past Year**

Section 1A: Job Responsibilities  
 Section 1B: Individual Goals  
 Section 1C: Behaviors  
 Section 1D: Manager's Overall Evaluation

**Section 2: Plan for Coming Year**

Section 2A: Goals for Coming Year  
 Section 2B: Development Plan

**Evaluation Levels and Sample Criteria**

Needs Improvement (N)	Satisfactory (S)	Exceptional (E)
<ul style="list-style-type: none"> <li>Individual who does not meet the majority of the job responsibilities and/or does not meet the majority of the department's requirements and does not meet his/her portion of requirements and duties.</li> <li>Work is regularly incomplete and/or does not meet the overall standards for quality or quantity of work.</li> <li>Needs little or no supervision and/or coaching.</li> <li>Requires little or no supervision and/or coaching.</li> <li>Requires little or no supervision and/or coaching.</li> <li>Requires little or no supervision and/or coaching.</li> <li>Requires little or no supervision and/or coaching.</li> </ul>	<ul style="list-style-type: none"> <li>Individual who regularly meets and consistently exceeds requirements and job requirements.</li> <li>Meets goals set for the year.</li> <li>Provides full depth and breadth of information.</li> <li>Planned for years, manages quality and cost-effectively and efficiently.</li> <li>Consistently exceeds requirements and job requirements.</li> </ul>	<ul style="list-style-type: none"> <li>Individual who significantly and consistently exceeds requirements and job requirements.</li> <li>Exceeds goals set for the year.</li> <li>Demonstrates exceptional depth and breadth of the knowledge, skills, and abilities necessary to perform the job.</li> <li>Consistently exceeds requirements and job requirements.</li> </ul>

**Section 1A: Evaluation of Job Responsibilities**

Evaluate the performance of job responsibilities. Comments on performance of job responsibilities.

**Section 1B: Evaluation of Individual Goals**

Evaluate the performance of individual goals (measurable actions and results).

**Section 1C: Evaluation of Behaviors**

Evaluate the performance of behaviors (measurable).

**Section 1D: Manager's Overall Evaluation (Required section)**

Comments on the employee's performance, discussing areas of strength and areas for improvement. Provide Overall Evaluation.

Employee comments on any aspect of the performance evaluation.

**Section 2A: Goals for Coming Year**

Goal	Description and Measures
1.	
2.	
3.	
4.	

**Section 2B: Development Plan**

Area for Development	Describe Development Activities
1.	
2.	
3.	

**Signatures (Required section)**

Manager/Supervisor: \_\_\_\_\_ Employee: \_\_\_\_\_ Next Management Level: \_\_\_\_\_  
 Date: \_\_\_\_\_ Date: \_\_\_\_\_ Date: \_\_\_\_\_

## Defining Levels of Performance

Needs Improvement (NI)	Successful (S)	Exceptional (E)
<ul style="list-style-type: none"> <li>▪ Individuals who are new in the learning curve and have not mastered key job responsibilities</li> <li>▪ Inconsistently demonstrates or may be learning the required role knowledge and does not yet fully perform all requirements and duties</li> <li>▪ Work is regularly incomplete and/or does not meet the minimal standards for quantity or quality; often misses deadlines</li> <li>▪ Takes little to no initiative, even with prompting</li> <li>▪ Requires more than the expected level of supervision due to lower quality work or level of learning required to complete role successfully</li> <li>▪ Inconsistent interactions with peers and/or management</li> </ul>	<ul style="list-style-type: none"> <li>▪ Individuals who regularly meet and sometimes exceed expectations and role requirements</li> <li>▪ Meets goals set for the year</li> <li>▪ Possesses full depth and breadth of role knowledge</li> <li>▪ Perceived by peers, managers, students and other customers as collaborative, skilled and reliable</li> <li>▪ Consistently interacts effectively with peers and/or management</li> </ul>	<ul style="list-style-type: none"> <li>▪ Individuals who significantly and consistently exceed expectations and role requirements</li> <li>▪ Exceeds goals set for the year</li> <li>▪ Demonstrates exceptional depth and breadth of role knowledge, highly recognized by others within the University community</li> <li>▪ Demonstrates role model behavior for other supervisors/staff members to emulate</li> </ul>

### \*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:

