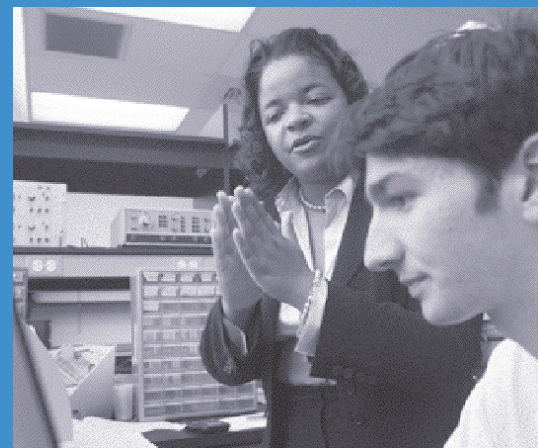
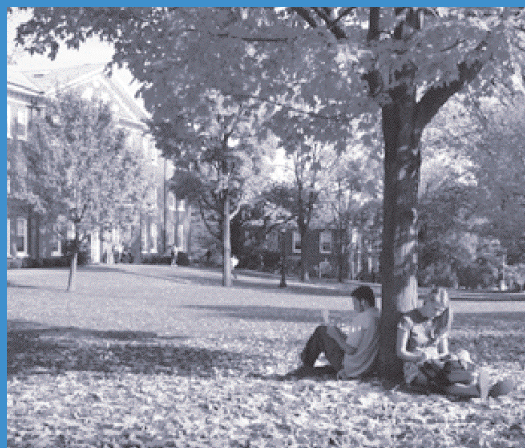


performance development and compensation programs

Tufts
UNIVERSITY



@WorkGuidebook



OFFICE OF THE PRESIDENT

Anthony P. Monaco, *President*

Dear Colleagues:

All of us have chosen to work at Tufts because we believe that the university can positively affect society through its teaching, research, clinical practice, and active citizenship. Success in advancing that important and inspiring mission requires our best individual and collective efforts. The university's @Work Performance Development and Compensation programs are one important way we can put into practice our commitment to excellence and high performance.

The @Work programs outline processes that give all staff the opportunity to enhance their performance through timely feedback, thoughtful goal planning, and stronger accountability for outcomes. A constructive dialogue about performance is at the very heart of the @Work program. My senior leadership team and I all participate in annual reviews ourselves, and we expect all supervisors and staff to participate in their own annual review process. There is no better way to assess strengths, reflect on opportunities for potential professional growth, and lay the groundwork for future success. I hope you will welcome the responsibility of engaging in candid conversations and then setting goals that will both advance the university's mission and give you chances for personal development.

Tufts is fortunate to have an extraordinarily talented and dedicated staff. I hope that you will find the @Work programs a strong framework for your own contributions toward the goals we share.

Best wishes,

A handwritten signature in cursive script that reads "Tony Monaco".

Anthony P. Monaco
President



HUMAN RESOURCES
OFFICE OF THE VICE PRESIDENT

Kathleen Cronin, *Vice President*

Dear Tufts Employees:

The @Work Performance Development and Compensation Programs (PDP) guide goal-setting, feedback and coaching, and the accomplishment of work at Tufts, and help to determine how employees are compensated for their contributions to the University. It is a framework that you can use to solicit feedback from your managers and colleagues, improve and enhance your skills, and help manage your career. To fully understand your role in this program, I encourage you to read this guidebook fully.

This Guidebook is an essential resource for all staff employees to further individual performance and professional development. By using the PDP as a model to set and achieve goals, we can contribute to the University's vision and mission, and also school, division, and department goals and objectives.

A word about what makes our program unique: Many performance development programs consist of two steps—creating annual goals and receiving a year-end review. Often, there is little to no communication between the initial goal setting and the annual review. Tufts PDP promotes a mid-year review as well as regular coaching and feedback. This helps ensure communication, support and instruction throughout the year and positions employees for success in their jobs.

The following example illustrates some of the benefits I have found, personally, from participating in the program:

During my time at Tufts I have had the invaluable benefit of working for several excellent managers who gave me both positive and constructive feedback on a regular basis. My best managers acted as my biggest champions as well as my most honest critics. They provided me with clear goals and guidance; regular, open communication about my work; compliments, when deserved; timely, constructive feedback, when necessary; and written performance reviews. I continue to appreciate how the full range of their candid feedback, integrated into an annual planning and review cycle, has been the foundation of my professional contributions and growth.

Please join President Monaco and me in supporting Tufts' unique @Work Programs. I hope you derive the same benefits from them as I have.

Sincerely,

A handwritten signature in black ink, appearing to read "Kathleen Cronin".

Kathe Cronin, Vice President for Human Resources

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intro **duction**

@Work Overview

@Work adds value to Tufts and to its employees

@Work focuses the way we do our work at Tufts University. On whichever campus we work, or school or division for which we work, whatever position we hold, or expertise we contribute to our job, the @Work Performance Development and Compensation Programs provide guidelines for our success.

@Work's Performance Development and Compensation Programs work together

By linking Tufts strategies and goals to employees' individual jobs, these two programs work together to:

- Provide tools to support communication between managers and staff to ensure that employees have a clear understanding of the link between their contribution and the university's mission, values, and goals.
- Encourage development of competencies (skills and behaviors) necessary for success in our changing work environment.
- Provide competitive total compensation, within defined markets, to attract and retain a high quality, diverse workforce.
- Establish a consistent framework with flexibility in pay to recognize individual performance, teamwork, and competency application, improvement and development.

Roles and Responsibilities

The success of Tufts @Work Programs is dependent on the involvement and collaboration of, and ownership by, school/division leaders, managers, employees, and Human Resources. Each plays an important role.

School/Division Leadership supports the @Work Programs by:

- Communicating university, school/division mission and goals
- Identifying resources for employee improvement and development
- Managing the merit increase budget and Progression Pay delivery in consultation with Human Resources
- Monitoring the application of the policies within the school/division.

Managers implement the @Work Programs in collaboration with employees by:

- Developing annual department goals which support division/school objectives and which serve as a foundation for writing individual employee goals
- Identifying, for all employees, improvement and development needs using the Tufts Organizational Competencies
- Identifying, for managers that supervise, improvement and development needs using the Tufts Leadership Competencies
- Providing realistic feedback and coaching for employees to achieve and exceed performance expectations
- Preparing Performance Review documents and conducting Performance Review meetings
- Administering the Compensation Program in a fair manner that recognizes contributions to organizational goals.

Employees collaborate with managers by:

- Contributing to the development of performance expectations and goals
- Demonstrating the desire and flexibility to develop the skills and competencies necessary for success in the position
- Requesting feedback and coaching to keep goals on track and to achieve expected performance
- Providing input to the Performance Review process.

Human Resources serves as a resource for school/division leadership, managers, and employees by:

- Providing the tools, training, and guidelines for effective administration of performance development and pay programs
- Consulting with managers and employees on the program processes or individual needs
- Monitoring information on market trends and providing managers with needed information to support compensation administration
- Ensuring that pay decisions are fair and equitable.

performance
development
program

Tufts Competencies: The Foundation of @Work

Competencies are knowledge, skills, and behaviors that all employees are responsible to develop and apply in support of the university's mission, values, and goals.

Tufts Organizational Competencies

- reflect the values and vision of the university
- describe behaviors that are important for individual success at Tufts today
- anticipate what will be required for the university's success in the future.

The Tufts Organizational Competencies are:

- **Expertise**

Demonstrate essential skills for a position • Share expertise • Support others in learning and skill building • Show pride in work • Commit to ongoing professional development

- **Interaction with Others**

Demonstrate requisite communication skills • Be open to different viewpoints • Show respect for others • Collaborate on joint projects and decisions • Give and receive candid and helpful feedback

- **Continuous Improvement**

Contribute to measurable improvement made in systems or processes • Develop system efficiency • Value innovation and creativity • Commit to generating new solutions and ideas

- **Customer Focus**

Pay attention to and focus on customer satisfaction • Develop effective and appropriate relationships with customers • Anticipate and meet the needs of both internal and external customers

- **Resourcefulness and Results**

Work effectively in a variety of situations • Demonstrate good work habits, flexibility, creativity, and initiative • Use multiple resources to achieve desired results • Seek input and assess risks when making decisions • Take action • Commit to getting things done

- **Leadership**

Model desired behaviors • Act as a catalyst for change through positive energy • Articulate goals and objectives and their value

Linking the Organizational Competencies and the Employee

An employee's job and the Tufts Organizational Competencies are connected because an employee's ongoing competency development:

- improves their own skills
- adds value to their department
- positions the employee positively for their Performance Review
- provides the potential for enhanced compensation.

The Performance Development Program and the Tufts Organizational Competencies are interdependent because competencies for an employee's job are:

- identified in the Job Description.
- included in the annual Performance Plan to reflect both the ongoing skills and behaviors for the position as well as any new ones that relate to the annual goals and job expectations.
- discussed in ongoing communications between managers and employees related to progress in performance as well as during the formal Checkpoint Review.
- reviewed and evaluated during the annual Performance Review as managers and employees discuss accomplishments for the year.

“There is nothing noble in being superior to someone else. True nobility is in being superior to your previous self.”

—HINDU PROVERB

Tufts Leadership Competencies

Tufts Leadership Competencies identify knowledge, skills and personal characteristics for administrative managers to ensure outstanding performance in the people management component of their job. The Leadership Competencies are:

- **Communicates a Compelling Vision and Direction**

Develops, communicates, and aligns others around a vision and strategy for the future. Creates plans and initiatives that ensure the understanding and commitment of others to achieve the vision.

- **Creates an Environment of Trust and Integrity**

Models and maintains the values of candor, openness, inclusiveness, and honesty despite internal and external pressures. Consistently acts in a way that is both trustworthy and trusting. Builds and maintains trust with others.

- **Drives Results**

Demonstrates the ability to act in a decisive, urgent, and committed way to achieve results. Remains focused on the goal, commits to an agreed course of action, uses innovation, and leverages resources to reach that goal.

- **Manages Change**

Recognizes when there is a need for change and effectively manages both the areas that remain stable and those that are changing. Communicates frequently and candidly during times of change. Demonstrates tolerance and adaptability when dealing with ambiguous situations. Foresees the impact of emerging technologies and integrates these technologies within the organizational processes.

- **Develops Relationships with a University Focus**

Demonstrates the ability to build alignment and commitment within and across functions to achieve common goals. Maintains a broad set of solid relationships in the university and beyond. Actively champions the needs and goals of the university and willingly makes difficult resource decisions in implementing university strategy.

- **Develops Self and Others**

Values continuous learning and fosters a climate for the learning and development of self and others.

The @Work Performance Development and Compensation Cycle

This program has four major phases in its annual cycle. These four formal meetings are in addition to the manager's ongoing coaching conversations throughout the year. Ongoing coaching and feedback about performance is the key to the Tufts Performance Development Program.



Each phase of the Performance Development Program cycle is based on collaboration and communication between the manager and employee.

Performance Development Cycle		
July	Performance Planning	The manager and employee collaborate to write performance goals for the up-coming year that will support current university, school/division, and department priorities and goals. For new employees starting after July, the Performance Plan should be written as soon as possible.
December	Checkpoint Review	Midway through the cycle, the manager and employee meet to discuss progress to date. The manager is expected to provide formal feedback on performance to each employee.
May	Performance Review	The manager prepares a written Performance Review and meets with each employee to discuss it, giving the employee a copy.
June	Merit Pay Communication	The manager communicates the salary for the upcoming year. The Merit Pay decision is based on the past year's performance.
Throughout the year	Ongoing Coaching	Throughout the year the manager and employee are expected to review performance through ongoing feedback and coaching conversations.

“If you don't know where you are going, you'll end up someplace else.”

—YOGI BERRA

Performance Planning Meeting—July

Annual Performance Planning in July is a time for manager and employee to collaborate on writing the employee's individual goals to support the department's goals and objectives for the year. Prior to the Performance Planning meetings, the manager will have outlined the department goals for the employee and discussed how they support the school or division's strategies and current university priorities. Human Resources staff are available to assist managers in the development of school, division, department, and employee goals.

The Performance Planning Process (Parts I-III)

Part I: Preparation

The manager schedules a meeting with the employee. They each prepare by:

- Reviewing the employee's Job Description and previous Performance Plan
- Reviewing Department and School/Division goals to ensure alignment with employee's goals
- Drafting four to six individual goals that will support the department's goals for the year
- Considering what improvement or development (of one or more of the Competencies) will be needed to accomplish the suggested goals.

Part II: First Meeting – Agreeing on goals

Manager and employee meet to:

- Review and discuss the three to six goals each has drafted
- Choose those goals that best support department and developmental needs. Goals may also be derived from ongoing responsibilities in the Job Description.
- Determine which competencies will be developed and demonstrated in these goals and what skill development is required. Although many goals will, each goal may not include development or demonstration of a competency.
- Whenever possible, discuss writing Performance Plan goals using the S.M.A.R.T. criteria: Specific, Measurable, Attainable, Relevant, Time-based. Definitions of these criteria appear on page 12.
- Manager identifies which Performance Plan option will be used (Appendix, p. 36)
- Schedule a second meeting to finalize.

Part III: Second Meeting—Manager Documents the Performance Plan

The employee gives the manager their agreed upon goals written with the S.M.A.R.T. criteria. The manager chooses one of two Performance Plan options to document the goals (Appendix, p. 36) The following guidelines apply to either option:

- The manager and/or employee document the goals/expectations in the Performance Plan
- The manager and employee each retain a copy
- The manager and employee agree to review and update the plan at any time to reflect changes in department or organizational goals, new priorities and individual responsibilities.

The employee and manager should understand that the ongoing responsibilities of a job will include expectations that are part of the Job Description but not necessarily identified in the Performance Plan.

“In absence of clearly defined goals, we become strangely loyal to performing daily acts of trivia.”—UNKNOWN

Writing Goals and Expectations using S.M.A.R.T criteria

The *manager and employee* work together to develop the goals for the Performance Plan using S.M.A.R.T. criteria. This criteria ensures goals are clear and measurable.

Definitions of the S.M.A.R.T. Criteria	
Specific	Focuses on specific results rather than general or vague actions. Simple goals ensure clarity. Complex goals should be broken into sub-goals.
Measurable	Determines how well a goal will be achieved. The goal could be: Quantitative—Measure <i>amount</i> of output or how much should be done. Qualitative—Measure <i>how well</i> the task is done.
Attainable	Ensures that the goal is challenging, realistic and able to be accomplished with the available resources.
Relevant	Aligns with the broader longer-term goals of the department. Meets or exceeds the needs of all constituents including internal and/or external customers.
Time-based	Indicates a specific, agreed upon completion date or frequency for achieving each goal.

Checkpoint Review Meeting—December

The Checkpoint Review meeting takes place in December midway through the Performance Development cycle. The manager and employee meet to discuss progress toward achieving Performance Plan goals. The manager is expected to provide formal feedback on all aspects of performance for each employee.

The Checkpoint Review Process

The manager schedules a meeting to review the employee's progress in accomplishing the goals in the Performance Plan as well as to review ongoing activities and Job Description responsibilities. The manager and the employee will discuss:

- Accomplishments to date
- Goals and priorities that still need to be accomplished
- Changes or shifts, if any, in university, school/division, or department priorities that may require adding or changing goals on the Performance Plan
- Obstacles that may be preventing the employee from achieving their goals and expectations and how these can be overcome
- Progress being made on development of the Tufts Organizational Competencies
- For managers, progress being made on development of the Tufts Leadership Competencies.

At the conclusion of the Checkpoint Review, the manager and employee document additions or changes to the Performance Plan, if any are necessary.

The manager continues to provide ongoing coaching for the employee throughout the cycle.

“Feedback is the breakfast of champions.” —RICHARD TATE

Performance Review Meeting—May

The annual Performance Review is held in May and is the next to last phase in the Performance Development Program Cycle. It is a time for manager and employee to reflect on and discuss the employee's accomplishments for the year.

The Performance Review Process (Parts I–IV)

Part I: Preparation

The manager prepares to write a review that accurately describes the employee's contributions for the year by:

- Reviewing the employee's Job Description and annual Performance Plan
- Reviewing notes from the Checkpoint Review meeting and other information gathered throughout the year
- Asking the employee to provide an Employee Performance Summary, summarizing accomplishments for the year (Appendix, p. 42)
- Requesting feedback from the employee's internal and/or external customers (Appendix, p. 43).

Part II: Writing the Performance Review

The manager uses the information he/she has gathered to:

- Assess the employee's performance for the year
- Write the Performance Review using the current form on the web (Appendix, p. 39)
- Indicate a performance rating
- Plan a Performance Review communication meeting.

Part III: Conducting the Performance Review

Once the review is written, the manager schedules a meeting with the employee to conduct the Performance Review. At this one-on-one meeting the manager:

- Provides the employee with a copy of the written Performance Review
- Discusses each section of the review giving examples as appropriate
- Provides helpful feedback
- Gains agreement on next steps and dates if any are required
- Concludes the Performance Review by signing the form and having the employee sign the form to indicate that the review has taken place. Each retains a copy for their files.

Part IV: Documenting the Performance Review

- The manager sends a copy of the Performance Review to Human Resources.

“Be patient with yourself. Self-growth is tender...
There is no greater investment.” —STEPHEN COVEY

Merit Pay Communication Meeting—June

Merit Pay is directly connected to an employee’s accomplishments for the year and reflects Tufts pay for performance philosophy. The overall merit budget is set according to the competitive market and the university’s financial needs.

The manager:

- Recommends a merit increase to their senior administrator
- Communicates the approved salary to each employee for the upcoming year after approval from the school or division’s finance officer.
- Connects for the employee the link between the merit increase and their past year’s contributions as discussed in the Performance Review.

The Merit Pay Communication is a separate meeting that focuses on communicating the salary increase. It is also a time to ensure that the employee understands the Tufts performance-based philosophy and how the Merit Pay budget is developed.

Ongoing Coaching—Throughout the Year

The “glue” of the @Work Performance Development Program is regular and ongoing communication. To enable an employee to be successful, a manager helps the employee achieve their goals on a regular basis by:

- Observing and supporting progress
- Communicating at regularly scheduled meetings
- Affirming and reinforcing skills, knowledge and behaviors that are contributing to progress and goal completion
- Discussing progress toward competency improvement and development on an ongoing basis, as well as during the formal Checkpoint Review and Performance Review
- Engaging in problem solving to identify and discuss challenges that are preventing the employee from achieving goals and suggesting ways to modify and improve.

Either the manager or the employee can initiate these update meetings.

A template to assist managers in providing effective feedback to employees can be found in the Appendix, p. 35.

“Coaching is not an addition to a leader’s job,
it is an integral part of it.”

—GEORGE S. ODIOME

compensation program

Program Overview

Tufts Compensation Program provides a framework for rewarding individual contributions to enable the organization to attract and retain a talented workforce. By maintaining a competitive compensation program we are able to:

- Encourage employees to develop and demonstrate competencies valued by Tufts
- Reward employee contribution and development
- Maintain a competitive relationship between Tufts salaries and the overall market
- Support ongoing organizational change
- Foster career development.

Key Features

These key features of the Tufts Compensation Program are explained on the following pages:

- Broadbands provide a flexible, organized structure of staff positions at Tufts; each position is assigned to a band
- Market Pay Zones help the university manage pay practices within the broadbands
- Opportunities for pay advancement are available to reward employee performance and development.

Broadbands

Broadbanding is the term used to describe a compensation system that places all positions into a few wide pay ranges. Broadbanding offers Tufts a progressive, flexible program that allows the university to reward individual contributions and to react quickly to changing market conditions and organizational needs. Staff positions are placed in one of four wide bands. Bands represent the scope of responsibilities, level of organizational impact, and collaboration necessary for the position.

Band Definitions

Executive

- Leads a major school or university-wide administrative function
- Impacts the organization by setting strategic directions and broad goals
- Collaborates with other executives as the university leadership team.

Examples: School Dean, Division Vice President

Management

- Manages a major area within a school/division
- Impacts the organization by setting the direction and agenda for a specific area or function
- Collaborates with other managers within a division or as part of a university-wide functional leadership team.

Examples: Director of Alumni Affairs, Manager Dining Services

Specialist/Management

- Applies advanced knowledge in a specific area as an individual contributor, supervisor, or first-level manager
- Focuses on achieving results through individual efforts or managing others
- Applies expertise and effort in support of organizational goals
- Collaborates with other specialists/managers or with others as needed.

Examples: Staff Accountant, Assistant Director of Financial Aid, Senior Programmer/Analyst

Administrative/Technical Support

- Provides administrative, operational, or technical support
- Follows guidelines and practices in performing job functions
- Impacts work group and/or customers in achieving results
- Collaborates with immediate work group and others as required.

Examples: Staff Assistant, Research Technician

Market Pay Zones

To provide additional structure and help manage salaries, each wide band is divided into three pay zones. Positions are assigned to zones based on their market value.

Actual pay ranges are adjusted annually on July 1 (the beginning of the fiscal year).

	ZONE 1	ZONE 2	ZONE 3
Executive	NO PAY ZONES	NO PAY ZONES	NO PAY ZONES
Management	\$ ← → \$\$	\$ ← → \$\$	\$ ← → \$\$
Specialist/Management	\$ ← → \$\$	\$ ← → \$\$	\$ ← → \$\$
Admin/Tech Support	\$ ← → \$\$	\$ ← → \$\$	\$ ← → \$\$

Band and Zone Assignments

Human Resource’s Compensation staff, in consultation with senior school or division officials:

- Place each staff position into a band according to job function—administrative/technical support, specialist/management, management or executive
- Determine the appropriate Market Pay Zone by comparing the position to salary survey information
- Slot jobs for which no reliable market data is available into bands and zones based on comparison to similar positions

What Factors Influence Individual Salaries?

External Market	The estimated market salary for a position as determined by survey data
Internal Comparison	Salary comparisons are made between positions doing similar work at the university
Budget	The amount budgeted for the position
Experience	The length and level of an individual’s related job experience
Performance	An employee’s salary growth is reflective of merit increase history

Opportunities for Pay Advancement

The following pay types reward different aspects of employee performance and development or respond to market trends:

Pay Types	Purpose	Key Features	Implementation
Merit	Rewards performance over the past year	<ul style="list-style-type: none"> Employee must meet or exceed performance expectations Pay increase related to performance Overall merit budget set annually according to competitive market and the university's financial situation 	<ul style="list-style-type: none"> Typically conducted near the end of the fiscal year Manager conducts review and completes forms (See Appendix p. 39) Increases reviewed by school/division Senior Administrator New salaries implemented at start of fiscal year (July 1) Individual must be employed by April 1st to be eligible
Progression	Recognizes significant development of competencies or increase in the position's responsibilities	<ul style="list-style-type: none"> Provides for salary movement within current job Band and zone remain the same Not an annual event 	<ul style="list-style-type: none"> Proposed by manager May require either a written memo or a new Job Description Reviewed by school/division Senior Administrator in consultation with Human Resources Salary increase typically ranges from 2-7%
Promotion	<ul style="list-style-type: none"> Changes in current position result in movement to a higher band or zone — or — Employee moves into another job in a higher band or zone 	<ul style="list-style-type: none"> Represents a major change in role and responsibility Pay increase depends on extent of change, market for position, and budget 	<ul style="list-style-type: none"> Manager submits revised Job Description for review and approval by Senior Administrator and Human Resources Compensation Staff — or — Individual applies for and is hired for another position in a higher band or zone

Pay Types	Purpose	Key Features	Implementation
<p>Market Adjustment</p>	<p>Maintains competitive position between the market and Tufts salaries</p>	<p>Based on review of data from relevant market surveys (next page)</p>	<p>HR Compensation staff monitors salaries on an ongoing basis Manager and Senior Administrator may request ad-hoc review</p>
<p>Lump Sum</p>	<p>Rewards one-time event or achievement that is beyond the normal scope or expectations for the position</p>	<p>Examples of situations include: Completion of a special project Extraordinary customer service Implementation of an idea that results in cost savings, revenue generation, or improved efficiency</p>	<p>Proposed by manager to Senior Administrator Payments under \$1,000 or 2% of base salary approved at division level; Bonus proposals above this guideline are submitted to Human Resources for further review</p>

Market Surveys

Tufts Compensation Program is supported by gathering external pay data for comparable work within appropriate labor markets. The labor market for a job or group of jobs is the geographic area or type of organization from which we recruit. Surveys may cover other educational institutions and/or business and industry. Geographic differences, as well as variations in the length of an organization’s work week (e.g. 35 hour vs. 40 hour), are factored into the determination of pay zones as well as actual salaries.

This chart summarizes the sources of information used:

Band	Geographic Area	Academic Staff	Administrative and Technical Staff
Executive	National	Education	<ul style="list-style-type: none"> • Education • Cross Industry
Management	National/Regional <ul style="list-style-type: none"> • U.S. • Northeast 	Education	<ul style="list-style-type: none"> • Education • Cross Industry
Specialist/ Management	Regional/Local <ul style="list-style-type: none"> • Northeast • Massachusetts 	Education	<ul style="list-style-type: none"> • Education • Cross Industry
Administrative and Technical Support	Local <ul style="list-style-type: none"> • Massachusetts • Boston 	Education	<ul style="list-style-type: none"> • Education • Cross Industry

Tufts compensation strategy is to position staff salaries around the middle of their relevant markets. This strategy is based on discussions with and consensus among university leaders.

appendix

Frequently Asked Questions about @Work

1) Q: What are the time frames for the four phases of the Performance Development and Compensation Programs' annual cycle?

A: Regular, ongoing performance based communication between manager and employee is essential to the success of these programs. In addition to these regular discussions, there are four key times in each yearly Performance Development Cycle (fiscal year) when managers and employees are expected to meet and discuss performance.

1. **July** Performance Planning
2. **December** Checkpoint Review
3. **May** Performance Review
4. **June** Merit Pay Communication

2) Q: What if one of the four phases is late?

A: Although it is important to stay on schedule, if you have missed a phase, every effort should be made to get back on track as soon as possible.

3) Q: What is a Job Description and how is it linked to Performance Planning?

A: The Job Description documents the major responsibilities and required competencies for a position. The Job Description is used for posting an open or newly created position and for documenting changes in responsibilities or requirements of an existing position. The Job Description provides a foundation for Performance Planning, which includes current year goals and ongoing expectations.

4) Q: How do I determine which of the two Performance Plan forms to use and how do I get a copy?

A: Managers and employees should assess samples of Performance Plan Option I and Option II to determine which form best suits the position responsibilities. (Appendix pp. 36-38)
Both forms are available on the web: <http://www.tufts.edu/hr/forms.shtml>

5) Q: Why is there a separation between the Performance Review and the Merit Pay Communication?

A: In the past, Tufts managers and employees observed that the Performance Review often focused too heavily on salary increase and not enough on performance. As a result, the Performance Review is a time for manager and employee to concentrate solely on performance for the past year and to determine to what degree goals have been met. The Merit Pay Communication meeting is a separate meeting that focuses on communicating the employee's salary increase based on the past year's performance and development.

6) Q: What is the difference between performance goals and competencies?

A: Performance goals specify WHAT is to be achieved and competencies specify HOW these goals are to be achieved—the skill and knowledge that need to be applied.

7) Q: What's the difference between performance improvement and performance development?

A: In describing an employee's learning needs, the words “improvement” and “development” are used. “Improvement” describes skills or knowledge that, based on past performance, need to improve. For example, being more consistent in meeting deadlines. “Development” describes skills or knowledge that, based on future goals, need to be enhanced or added. For example, learning how to use a new piece of software. For any employee, depending on the job, their experience, and their future performance goals, they may need to focus on one or the other or a combination of both.

8) Q: How is the Performance Development process monitored?

A: As part of the annual Performances Review meeting, the manager and employee sign the last page of the form indicating that the review has been written and communicated. A copy of the Performance Review form is sent to Human Resources. Human Resources then works with the senior administrators of all the schools and divisions to ensure that managers have written and communicated a Performance Review for each of their employees thereby ensuring that all Tufts employees have received their Performance Reviews.

9) Q: What happens to Performance Review paperwork if either the employee or the manager leaves their position?

A: Human Resources keeps all Performance Reviews on file. This file stays with the department independent of manager or employee turnover. It is also good practice for employees to maintain a set of copies for their own records.

10) Q: How is Progression Pay different from Merit Pay?

A: Progression Pay recognizes significant growth in a position. This may include acquisition of new skills, development of competencies, or an increase in position responsibilities. Merit Pay, on the other hand, rewards past performance. If performance meets or exceeds expectations, an employee is eligible for a merit increase.

11) Q: How does a Lump Sum Payment differ from other types of pay?

A: Lump Sums are given to reward a one time event or special accomplishment that takes place over a finite period of time. For this reason, Lump Sum Payments are not added to base salary.

12) Q: Do employees receive a merit increase or a cost of living increase?

A: Tufts Performance Development and Compensation Programs are linked so that an employee's merit increase is based on performance over the past year. Tufts does not provide a cost of living increase. However economic data, including cost of living, is considered in the development of an overall merit budget.

13) Q: What oversight is provided to ensure fairness in how different managers or different schools/divisions reward their staff?

A: School/division leadership and Human Resources share responsibility for ensuring fair pay practices. The Senior Administrator is responsible for consistent application of pay programs within their school/division. Human Resources reviews individual pay changes, consults with managers, and conducts post audits of pay programs to ensure consistent practices throughout the university.

14) Q: How do I do a review for a Post Doc?

A: See the Postdoctoral Associate and Postdoctoral Fellow Review Form which is available at: www.tufts.edu/hr/forms/forms.html

The Tufts Leadership Competencies

Communicates a Compelling Vision and Direction

- Develops, communicates, and aligns others around a vision and strategy for the future. Creates plans and initiatives that ensure the understanding and commitment of others to achieve the vision.
- Communicates a clear picture of where the university is going.
- Inspires and motivates by setting a direction and allowing others to take the lead in achieving that vision.
- Involves others in identifying and achieving common goals and priorities.
- Assesses current internal and external conditions and develops strategies that meet the long-term interests of the university.

Creates an Environment of Trust and Integrity

- Models and maintains the values of candor, openness and inclusiveness despite internal and external pressures.
- Consistently acts in a way that is both trustworthy and trusting. Builds and maintains trust with others.
- Follows through on commitments.
- Consults, listens and provides others with information.
- Interacts with others in a manner that is straightforward, respectful and inclusive.
- Recognizes and appreciates the impact of emotions on situations, and plans and responds accordingly.
- Learns from mistakes, experiences and feedback.

Drives Results

- Demonstrates the ability to act in a decisive, urgent and committed way to achieve results.
- Remains focused on the goal and leverages resources to reach that goal.
- Demonstrates a willingness to move forward despite ambiguity.
- Takes thoughtful risks knowing that taking a risk is often better than not acting at all.
- Shares knowledge and responsibility.
- Establishes high standards of performance.
- Holds others accountable for results.
- Encourages and rewards creativity, innovation and continuous improvement.
- Balances short-term and long-term priorities.

Manages Change

- Recognizes when there is a need for change and effectively manages both the areas that remain stable and those that are changing.
- Communicates frequently and candidly during times of change.
- Demonstrates tolerance and adaptability when dealing with ambiguous situations.
- Foresees the impact of emerging technologies and integrates these technologies within the organizational processes.
- Initiates plans to accomplish organizational goals while meeting the challenges of a fast-changing environment.
- Develops plans and strategies to effectively manage current and future challenges and opportunities.
- Assesses the tolerance of self and others for change.
- Communicates to those stakeholders affected by changes and addresses their questions, concerns and need for information.
- Deals with setbacks by being resilient and flexible.
- Creates a shared responsibility among team members by involving them in critical deliberations and decisions as appropriate.

Develops Relationships with a University Focus

- Demonstrates the ability to build alignment and commitment within and across functions to achieve common goals.
- Maintains a broad set of solid relationships in the university and beyond.
- Actively champions the needs and goals of the university.
- Willingly makes difficult resource decisions in implementing university strategy.
- Considers the impact of decisions on other parts of the university community.
- Creates a free flow of information.
- Seeks to understand others' points of view.
- Has the courage to surface and resolve conflicts in a timely and constructive manner.
- Uses influence positively and skillfully to initiate action, impact decisions and obtain resources and approvals.
- Balances the needs and input of all involved stakeholders while demonstrating a bias for action and personal ownership of the decision.
- Develops and encourages all team members to work collaboratively within and across functions.
- Continues to ensure strong academic and administrative partnering toward shared goals.

Develops Self and Others

- Values continuous learning by fostering a climate for the learning and development of self and others.
- Models the behaviors identified in the Organizational and Leadership Competency Models.
- Takes responsibility for developing professional expertise that add value to the university's success.
- Gives employees honest and clear feedback regarding strengths, weaknesses and areas for development.
- Provides regular coaching and guidance for employees so they can improve their performance.
- Reflects on own successes and failures and identifies lessons learned for future application.
- Encourages employees to reflect on their successes and failures and identify lessons learned for future application.
- Active plans for the development of all employees that will strengthen current and future capabilities and enable them to contribute fully.

forms on the web

THE FORMS ON THE FOLLOWING PAGES ARE
SAMPLES OF THOSE AVAILABLE ON THE WEB.
TO ENSURE THAT YOU ARE USING THE MOST
CURRENT FORM, PLEASE ALWAYS DOWNLOAD
FORMS FROM THE WEB.

Performance Plan Forms

The Performance Plan identifies individual goals to be accomplished by employees within the Performance Development cycle. Prior to writing the Performance Plan, manager and employee should first review the Job Description and update as necessary.

There are two Performance Plan options used in writing job-specific goals. Determining which option is best for documenting the next year's goals will depend on the responsibilities of the job and the employee's length of employment and level of expertise. Both forms are available on the web.

Performance Plan - Option 1 has an open format with unlimited space available for writing annual goals and is typically used when:

- Specific accountabilities vary from year to year and often include project type work
- Goals are best written using the S.M.A.R.T. criteria (p. 12), with competencies incorporated as appropriate.

Performance Plan - Option 2 has a more structured format and has two columns. The left column builds on the Job Description responsibilities. It incorporates each of the Tufts Organizational Competencies using language that is tailored to the position. The right column is provided to include corresponding annual goals.

Guidelines for Completing Option 2:

Responsibility by Competency (left column)

- Consider which competency each of the responsibilities relate to
- Starting with *EXPERTISE* list responsibilities for each competency
- Refer to the Job Description and continue matching the remaining Responsibilities with the appropriate competency. (*When doing performance planning for the first time, manager and employee may have to create the appropriate text for the remaining competencies.*)

Goals (right column)

- Consider department goals and/or any changes in the job that result in a goal for the year
- Determine if these goals require development of a competency.
- Determine which goals have priority for the year. Write goals using S.M.A.R.T. criteria

Performance Plan—Option 1

Employee Name: _____

Manager Name: _____

Performance Period from: _____ To: _____

Review Date: _____ Date updated (if appropriate): _____

Write four to six goals for the upcoming year. All goals should be **S.M.A.R.T.**:
S=Specific, **M**=Measurable, **A**=Attainable, **R**=Relevant, **T**=Time-based.

Goals should also incorporate the Tufts Organizational Competencies, as appropriate:

- 1) Expertise
- 2) Interaction with Others
- 3) Continuous Improvement
- 4) Customer Focus
- 5) Resourcefulness and Results
- 6) Leadership.

In addition, for managers, goals should incorporate the Tufts Leadership Competencies as appropriate:

- 1) Communicates a Compelling Vision and Direction
- 2) Creates an Environment of Trust and Integrity
- 3) Drives Results
- 4) Manages Change
- 5) Develops Relationships with a University Focus
- 6) Develops Self and Others

Performance Plan—Option 2

Employee Name: _____

Manager Name: _____

Performance Period from: _____ To: _____

Review Date: _____ Date updated (if appropriate): _____

Responsibilities by Competency (Specific responsibilities of the position)	Goals
Expertise	
Interaction with Others	
Continuous Improvement	
Customer Focus	
Resourcefulness and Results	
Leadership	



Tufts University Performance Development Program Performance Review Form

Name of Employee _____ School/Division _____

Name of Supervisor _____ Date of Review _____

This *two-part* University form is to be used for all employees covered by the Performance Development Program. The emphasis of this document, and the conversation it facilitates, should be on:

- Performance and goals;
- The Tufts Organizational competencies that contribute to success: *Expertise, Interaction with Others, Continuous Improvement, Customer Focus, Resourcefulness and Results and Leadership*
- For managers, the Tufts Leadership Competencies are: *Communicates a Compelling Vision and Direction, Creates an Environment of Trust and Integrity, Drives Results, Manages Change, Develops Relationships with a University Focus, Develops Self and Others;*
- The improvement and development of the employee as it relates to the work and goals of Tufts.

Part 1: Written Review

I. Performance Overview:

In this section, briefly describe the scope of the job, as well as any exceptional circumstances the employee was working within. Then, describe to what extent previously identified responsibilities and goals were or were not accomplished, and to what extent the competencies were or were not used. The descriptions should use language that differentiates performance along the “met/exceeded” continuum. If the employee did not meet expectations describe performance accordingly.

- What was accomplished and how was it accomplished (use of competencies)
- Consider input from entire review period
- Look for themes. Choose significant goal-related results
- Write the key points. You will probably say more than you have written

Please be advised that this document will be considered part of your personnel record under Massachusetts law.

II. Strengths:

Highlight specific competencies (observable skills and behaviors) that contributed to the employee's accomplishments and performance, including the development of new competencies.

- The value the person brings to the organization
- Reflect employee's unique qualities
- Look at the employee's demonstration of competencies

III. Areas of Improvement/Development:

Specify learning and development areas including the development of competencies. This relates to improvement needed in current job performance, as well as development needed to prepare the employee for future assignments.

- Identify improvement needed from the review period
- Identify development needs to prepare for future assignments
- Emphasize competency development
- Be specific and creative in suggestions for development

IV. Overall Summary:

Consider overall performance and the use of competencies as you summarize the employee's contributions.

- Be fair and candid
- Offer the positive headlines
- Reinforce overall message of this Performance Review
- Leave employee feeling acknowledged, appreciated, and supported

V. Employee Comments:

Employee may submit comments regarding this review.

- Optional place for employee viewpoint
- It is customary to offer the employee an opportunity to add any comments
- If follow up action is necessary, the manager or employee may consult with Human Resources

Please be advised that this document will be considered part of your personnel record under Massachusetts law.

Part 2: Performance Category And Signature Page

Performance Categories

Met/Exceeded Expectations

An employee in this category has performed on a continuum from “Met” through “Exceeded” in their goals and responsibilities and has effectively demonstrated relevant competencies in their work.

Met/Exceeded

Did Not Meet Expectations

An employee in this category *Did Not Meet* goals and responsibilities and did not effectively demonstrate the relevant competencies. A plan for improvement will be discussed and agreed upon within 30 days by _____(Date)

Did Not Meet

For Recent New Hires, Promotions, or Transfers Only:

Review will be conducted on _____. This allows the employee to have a sufficient amount of time in the job before performance is reviewed (three months or more).

Signatures

Once signed, a copy of this review is sent to Human Resources.

Employee Signature I have *received* a written and verbal Performance Review. My signature does not indicate agreement or disagreement with this review.

Supervisor Name _____ Department _____

Employee Signature _____ Date _____

Supervisor Signature I have *written* and *delivered* a Performance Review for this employee:

Supervisor Name _____ Department _____

Supervisor Signature _____ Date _____

Human Resources can be contacted as an educational resource in using the Performance Development Program. Please call 7-3268 if you have any questions.

Please be advised that this document will be considered part of your personnel record under Massachusetts law.

Employee Performance Summary

Your Name: _____ Date: _____

It is strongly encouraged that employees use the following form to prepare a performance summary for their manager each year. After employees have reflected on their past year, they should submit a summary to their manager by the date they have both agreed upon.

Performance Overview:

Consider your Job Description responsibilities and your Performance Plan goals and describe your accomplishments in the current review period.

Significant Events:

Are there any significant events that positively or negatively impacted your performance or results, such as other responsibilities, achievements, or relationships?

Strengths:

Are there any noteworthy accomplishments and/or developments in your job-related skills and competencies that your manager should consider in evaluating your overall performance?

Improvement And Developmental Goals:

Briefly identify any job-related improvement and development you would like to focus on in the coming fiscal year.

Coaching Support:

Is there anything your manager could do to help you to be more effective or productive in achieving your goals?

Customer Input Tool for Managers

(Recommended)

Purpose

There are several reasons to get input from customers prior to completing a Performance Review. Below are some examples:

- to determine how satisfied a major customer is with service provided
- to get input on performance when an employee is working on a project that you are not supervising
- to get input on performance when an employee works for several individuals but you are responsible for conducting the Performance Review
- to confirm that what you observe in an employee's performance matches what others see

Obtaining Input

Input can be obtained in several ways including a telephone conversation, email or other written communication, or a face to face discussion. When asking for input there are a number of things to consider. These include:

- Overall accomplishment of project or tasks
- Major strengths including competencies
- Areas for improvement/development related to completion of tasks or projects, and use of competencies

Considerations

It is important to look for specific information when getting feedback i.e. to link it to a goal or ongoing responsibility, and to understand how performance related to expectations.

As the supervisor, you will want to factor this feedback with other feedback received, as well as your own observations and your knowledge of performance expectations.

Tufts Organizational Competencies by Band

Competency	Admin/Tech Support	Specialist/Management	Management	Executive
Expertise	<p>Applies knowledge and skills related to discipline in accomplishing tasks</p> <p>Continually seeks to learn new skills and broaden experience within area of specialty</p>	<p>Applies advanced knowledge and skills within specialized area</p> <p>Exhibits continuous commitment to developing personal skills and sharing knowledge with coworkers</p>	<p>Utilizes comprehensive understanding of given discipline and broad university topics</p> <p>Ensures knowledge and skill base of staff is developed to adapt to changing needs</p>	<p>Integrates advanced knowledge within own discipline with broad knowledge of other disciplines to bring new insight to the resolution of university-wide issues</p> <p>Systematically identifies and reviews employee skills necessary to meet university goals</p>
Interaction with Others	<p>Values and utilizes different perspectives of work group members</p> <p>Contributes knowledge and experience to work group discussions</p>	<p>Encourages work group members to actively seek and utilize different perspectives</p> <p>Seeks opportunities and plays a leading role in work done in area of responsibility</p>	<p>Promotes an open environment where diverse perspectives are valued and developed to promote university goals</p> <p>Organizes teams and leads formal open discussion of issues impacting the university</p>	<p>Creates and maintains an open environment where all stakeholder perspectives are freely offered and fully considered</p> <p>Works with leadership team and others to model collaborative work approach in cross-university initiatives</p>
Customer Focus	<p>Focuses on meeting customer needs using standard guidelines and knowledge specific to specialty</p>	<p>Inspires trust and confidence of customers while building ongoing relationships</p>	<p>Uses the customer's perspective to meet and exceed customer expectations</p>	<p>Develops customer focused strategies which support university goals and objectives</p>

Competency	Admin/Tech Support	Specialist/ Management	Management	Executive
Continuous Improvement	Utilizes knowledge to challenge the status in recommending process changes	Anticipates the need for change and seeks the input of others regarding process improvements	Demonstrates through actions the value and need for continuous improvement	Develops and creates buy-in for new processes critical to continuous improvement initiatives of the university
Resourcefulness & Results	<p>Uses sound judgment to establish and achieve deadlines</p> <p>Independently utilizes existing resources and gathers information from multiple sources</p>	<p>Adjusts to effectively accommodate multiple demands and shifting priorities</p> <p>Uses advanced skill to recognize and determine the value of alternative resources</p>	<p>Develops and executes operating plans that achieve long-term school and university goals</p> <p>Manages resources within unit and facilitates use of resources across units to achieve results and maximize efficiencies</p>	<p>Sets clear overall operating goals. Ensures functional objectives are supportive and integrated with other unit objectives</p> <p>Identifies opportunities to maximize the value-added impact of projects/ activities that cut costs, increase revenue, or improve services</p>
Leadership	Approaches ambiguous task with confidence in specialized skills to achieve results	Demonstrates university values and influences others to exhibit these values	Sets the tone of integrity and ethics within the community while working through others to achieve university goals	Articulates and acts as a catalyst in the achievement of university vision and goals

Who To Contact?

Tufts University Human Resources

Organizational Development and Training

617.627.3268 Medford/Boston/Grafton
HR-trainingcoordinator@elist.tufts.edu

Compensation

617.627.3391 Medford
617.636.3904 Boston/Grafton
HR-compensation@tufts.edu

Employee Relations and Employment

617.627.6272 Medford
617.636.6600 Boston
508.839.7975 Grafton

Mailing Addresses:

Medford Campus
Human Resources
200 Boston Avenue
Suite 1600
Medford, MA 02155

Boston Campus
Human Resources
Posner Hall
200 Harrison Avenue
Boston, MA 02111

Grafton Campus
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