ISR STAFF MEETING
March 2012
AGENDA

- Introduction
- New Staff Members
- Performance Review Process
- Visitors
- Oracle R12
- ERs/PRCs
- Contract Process Review
NEW STAFF MEMBERS

- Victoria Poprocky - R&P Coordinator
- Tiffany Todd - Administrative Associate
- Sarah Tedrow-Azizi - CASOS Executive Assistant
NOTE...

- Vlora Selimi has begun her maternity leave...
- Expected return is September
- Contact Nick or Monika with issues that would normally go to Vlora
PERFORMANCE REVIEW PROCESS

2012
OVERVIEW

- March 20th - Performance Outline Distributed
- Late March and April - Performance Reviews
- April 30th - Completed Performance Review Documents
  Due in ISR Business Office
WHY?

- Meet University requirements
- Provide feedback to our team
- Document exceptional performance as well as areas for improvement/goals for future growth
EVALUATION FORM

• Standardized across ISR

• Simplifies evaluation process for supervisors

• Maintain a written record that the employee has seen the form and discussed the evaluation

• Simple form = 3 fill-in-the-blank pages
Contains employee data and overall performance against goals or core responsibilities.

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### Institute for Software Research

#### Performance Management Outline

<table>
<thead>
<tr>
<th>Employee Name</th>
<th>John Smith</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title</td>
<td>Administrative Assistant II</td>
</tr>
<tr>
<td>Department/Unit</td>
<td>Software Research</td>
</tr>
<tr>
<td>Evaluator</td>
<td>Jane Doe</td>
</tr>
<tr>
<td>Rating Year</td>
<td>2007-08</td>
</tr>
</tbody>
</table>

### Section 1 - Responsibilities/Objectives

List the primary responsibilities or objectives for the employee, add comments on achievements and areas for improvement (optional but strongly encouraged), and provide an end of year rating for each area.

<table>
<thead>
<tr>
<th>Primary Performance Expectations: Responsibilities/Objectives</th>
<th>Notes/Comments on Achievements &amp; Areas for Improvement (optional but strongly encouraged)</th>
<th>End of Year Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Objective 1: Text</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Objective 2: Text</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Objective 3: Text</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Objective 4: Text</td>
<td>Text</td>
<td>#</td>
</tr>
</tbody>
</table>

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**Rating Scale**

1 to 5, with 5 being highest and 3 being normative

**Rating Levels: For ratings, please use one of the following numbers:**

1: performs below expectations; substantial improvement needed
2: generally performs at expectations; some areas for improvement exist
3: performs at expectations; good performer, no complaints
4: performs above expectations; very good performer
5: consistently exceeds expectations; exceptional performer
Section 2 - Performance Competencies
Rate the employee across these standard competency areas; providing additional comments and notes as is appropriate.

<table>
<thead>
<tr>
<th>Competency Area</th>
<th>Notes/Comments on Competency Areas and Suggestions for Improvement (optional but strongly encouraged)</th>
<th>End of Year Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job Knowledge/Competency: Demonstrates the knowledge and skills necessary to perform the job effectively. Understands the expectations of the job and remains current regarding new developments in areas of responsibility. Performs responsibilities in accordance with job procedures and policies. Acts as a resource person upon whom others rely for assistance.</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Quality/Quantity of Work: Completes assignments in a thorough, accurate, and timely manner that achieves expected outcomes. Exhibits concern for the goals and needs of the department and others that depend on services or work products. Handles multiple responsibilities in an effective manner. Uses work time productively.</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Planning/Organization: Establishes clear objectives and organizes duties for self based on the goals of the department, division, or management center. Identifies resources required to meet goals and objectives. Seeks guidance when goals or priorities are unclear.</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Initiative/Commitment: Demonstrates personal responsibility when performing duties. Offers assistance to support the goals and objectives of the department and division. Performs with minimal supervision. Meets work schedule/attendance expectations for the position.</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Problem Solving/Creativity: Identifies and analyzes problems. Formulates alternative solutions. Takes or recommends appropriate actions. Follows up to ensure problems are resolved.</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Teamwork and Cooperation: Maintains harmonious and effective work relationships with co-workers and constituents. Adapts to changing priorities and demands. Shares information and resources with others to promote positive and collaborative work relationships.</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Interpersonal Skills: Deals positively and effectively with coworkers and constituents. Demonstrates respect for all individuals.</td>
<td>Text</td>
<td>#</td>
</tr>
<tr>
<td>Communication (Oral and Written): Effectively conveys information and ideas both orally and in writing. Listens carefully and seeks clarification to ensure understanding.</td>
<td>Text</td>
<td>#</td>
</tr>
</tbody>
</table>

provide an end of year rating for each competency

8 core competencies

end of year notes or observations are optional but encouraged

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End of Period Summary Performance Rating
Based on a review of Section 1 and Section 2, provide a summary performance rating.

Comments (optional but strongly encouraged):
Text

Rating (please place an X on one line):

___ Performance consistently and significantly above standards in virtually all areas; far exceeds normal expectations. (5)
___ Performance well above standards in many important aspects; usually exceeds normal expectations. (4)
___ Performance meets standards in all important aspects; good contributor. (3)
___ Performance slightly below standards in some important aspects, but meets standards in others; performance generally acceptable but improvement needed to fully achieve functional performance level. (2)
___ Performance below standards in a number of critical aspects; substantial improvement needed. (1)

Evaluator Signature ____________________ Date ________________

I have read this appraisal and it has been discussed with me. I understand that signing this appraisal does not necessarily mean that I agree with all of the information in it or that I forfeit my right for review.

Employee Signature ____________________ Date ________________
RATINGS: 1 - 5

- Ratings are based on a scale of 1 to 5...with 5 being highest.
- 1: performs below expectations; substantial improvement needed
- 2: generally performs at expectations; some areas for improvement exist
- 3: performs at expectations; good performer, no complaints [normative score]
- 4: performs above expectations; very good performer
- 5: consistently exceeds expectations; exceptional performer
RATINGS: EXPLAINED

- A rating of 3 (Performs at Expectations) is the normative score
- Solid performers should get a rating of 3
- Expectations:
  - Majority of ISR staff will be rated 3 (80%)
  - Some 2 and 4 ratings (10-15%)
  - Ratings of 1 and 5 reserved for exceptional cases (5-10%)
VISITORS

- New webpage established with instructions for bringing in external visitors...
  - Industrial Vistors
  - Visiting Scholars/Faculty
  - Visiting Students
- Important to review the process and follow it, paying careful attention to time requirements
VISITORS

http://www.isri.cmu.edu/bizoff/visitors.html
Oracle R12 is coming...

Road Show presentations held at SCS two weeks ago

Will not represent a major change for most users

Deadlines impact ER and PRC preparation

Complete information, including calendars and training materials can be found online...

https://www.cmu.edu/finance/systems/r12/index.html
ERS & PRCS
JUSTIFICATIONS: ERS

- **Who** is the expense report for (including title or role if a student)
- **What** the expense report contains
- **Where** the expense occurred
- **When** the expenses took place (for a trip this will be a date range)
- **Why** the expense was incurred (the business purpose)
• Various expenses for Bob Smith, Professor, related to trip to ICSE conference in Vienna, Austria, May 1-10, 2011, where Dr. Smith was the invited keynote speaker.

• Remember: For each and every expense contained within the ER, each Justification Field should also include the 5W’s. The best bet here will simply be to copy and paste from the Purpose Field to augment specifics about each individual expense.
JUSTIFICATIONS: PRCS

- **Who** was the purchase made for (including title or role if a student)

- **What** was purchased, in detail

- **Where** the item was purchased and where it will be used

- **When** the item was purchased (the date on the invoice or receipt which may or may not be the transaction date)

- **Why** the expense was incurred (the business purpose)
Case of printer paper and toner refill for Dr. Bob Smith’s (Professor) office HP printer from Amazon.com on May 1, 2011, to enable printing of CMU-related documents at 300 S. Craig.
Food and Related

- Food purchases continue to be challenging for all of us...
- Three different possible categories:
  - Non-Travel Business Meals
  - Refreshments
  - Unallowable
FOOD

- Non-Travel Business Meals: actual meal (entree, beverages) when there is a legitimate business purpose for the meeting or event

- Refreshments: snacks (cookies, water, soda) or other food not representing a meal when there is a legitimate business purpose for the meeting or event

- Unallowable: food where there is no business purpose for the meeting or event
EXAMPLES

- Catered lunch from Boston Market for a masters program admission meeting... NON-TRAVEL BUSINESS MEALS
- Coffee and scones for the R&P Meeting... REFRESHMENTS
- Pizza and soda for a “meet the faculty” social hour... UNALLOWABLE
- (All of these are fine events, but the categorization is important...)
- Do NOT attach receipts <$75

- Remember to attach any and all requests for policy exceptions (including your email and Nick's response) as part of the documentation packet

- Dates of travel (new): The audit folks have now deemed that any and all ERs that include travel expenses must include documentation of the dates of travel. In many cases, this is obvious as the ER includes airfare... HOWEVER...in some cases, such as when the flight is booked via a TR, the dates of travel are NOT specifically "proven" by the other receipts submitted into evidence. As such, if you are preparing an ER for travel expenses that doesn't include airfare, please provide a copy of the airline ticket or approved TR to substantiate the dates of travel.
CONTRACTS
The contracting process remains a sticky one...

Multiple pieces needed...

- Vendor needs to be in the system

- Contract needs to be put into place (if not a preferred or contract vendor, although even then some signatures are often needed)

- PO needs to be issued

- Check needs to be cut upon receipt of invoice
CONTRACTS

- This process can and does take weeks

- UCO requests at least 6 weeks’ notice for contracts, particularly those with new vendors

- Advance planning is required...we can no longer push things through the system on short-notice reliably

- Your help will be needed to coordinate with the vendor (particularly new vendors) AND to give the Business Office sufficient notice -- we coordinate with UCO for you
It can take up to 8 weeks to get the entire process completed, including system entry, contract execution, PO issuance, and check issuance.

Most events in ISR are known about well in advance and so the process must begin well in advance.

Last minute submittals to the Business Office will not be processed -- we don’t have the staff bandwidth or the goodwill with the UCO to make it happen anymore...
Q&A