

Non-exempt_Hourly Form – U.S.

Employee Profile:

Employee Name:	Lee Woodard	Manager:	William Cardozo
Employee ID:	000015701	Next Level Manager:	Michael Sabatino
Job Title:	CT Administrator	LOB/Department:	Boston Muni
Hire Date:		Start Date in Current Position:	
Evaluation Period:	8/3/08 – 12/31/08	Evaluation Date:	1/9/09

Current Overall Performance Rating	<i>Rating / Date Entered</i>	Previous Overall Performance Rating	<i>Rating / Date Entered</i>
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Reason for Performance Review – Please check one of the following options:

Annual Review
 Mid-year Review
 Interim Review / Probation Period

Section I: Results-based Goals OPTIONAL

Check One:

I'm going to set and discuss goals with this employee.
 I'm going to skip to Section II.

Line of business or Shared Services results-based goals should reflect the highest priorities for the year. Individuals should have no more than four business-related goals. For more information on setting results-based goals, please click the link to refer the [Results Based Goals on the Performance Management site on MySource](#).

Enter Goals for the Year	Year-end Assessment				
	1	2	3	4	5
LINE OF BUSINESS / SHARED SERVICES GOALS:					
Goal:					
Goal Self-Assessment:					
Goal:					
Goal Self-Assessment:					
Goal:					
Goal Self-Assessment:					
Goal:					
Goal Self-Assessment:					

Manager Assessments/Comments (Recommended) - required if an "Unsatisfactory" rating was given.

Section I: Results-based Goals

Year-end Overall Assessment for Results-Based Goals:

(1) Outstanding	(2) Exceeds Expectations	(3) Meets Expectations	(4) Below Expectations	(5) Unsatisfactory *
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(N) Too New to Rate

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Section II: Competencies and Values

Competencies: The core competencies constitute the knowledge, skills and behaviors that non-exempt employees must demonstrate. Competencies emphasize "how" results are accomplished. In addition to the required core competencies, there also are functional/job-specific competencies. The Competency Guide is located on the Performance Management site on MySource under Competencies.

Competencies	Year-end Assessment				
	1	2	3	4	5
Core Competencies					
Communication Skills					
Establish and maintain rapport with clients.		X			
Ensure client and bondholder inquiries and problems are addressed promptly and to their satisfaction.			X		
Keep RM apprised of all client matters and any account administration problems. (GCT Key Goal: Satisfaction rating of good or excellent with 80% of clients)			X		
Decision-making and Accountability					
Monitor and support debt service collection and payment process.			X		
Strive to meet deadlines (i.e., trade cut-off times, project milestones, reporting action steps).				X	
Maintains composure, effectiveness, objectivity, positive outlook and flexibility under pressure.			X		
Works effectively with others across departmental lines; gains cooperation from coworkers. (GCT Key Goal: Satisfactory or higher on all audit, compliance and regulatory reviews)			X		
Flexibility and Adaptability					
Back-up other team members.			X		
Participate in at least one project a year.			X		
Partner with outside groups/areas (i.e., Operations, DTC, IMG, etc.) to ensure accounts are serviced to client's satisfaction.			X		
Promotes the reputation and well-being of BNY; demonstrates support for management decisions.			X		
Represents BNY in a positive manner in both internal and external business encounters.			X		
Managing and Developing Staff (if applicable)					
Functional/Job-Specific Competencies					
Job Knowledge – Demonstrates comprehension and application of job responsibilities.					
Work closely with RM on day-to-day administration of accounts including: completing requisition payments, trades, transfers, and audit confirmations accurately and timely to ensure favorable client survey results. (GCT Key Goal: \$2 billion in revenues by 2010, and increased market share in every market segment)			X		

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Competencies	Year-end Assessment				
	1	2	3	4	5
Organizing Ability – Plans action to consistently accomplish daily work. Assist RM in obtaining compliance items and update comments on tickler system. Follow up on aged receivables.			X		
Quality of Work – Demonstrates attention to detail and achieves quality results. Complete new account set up and termination process within stated timeframes according to policy and procedures e.g. trust committee, checklists, ticklers, etc. Complete daily cash management with minimal overdrafts.			X		
Quantity of Work – Delivers accurate amounts of work in a set timeframe ensuring efficiency without compromising quality. Proficient in all related systems.		X			

Competencies Assessments/Comments:

Employee’s Self-Assessments/Comments (Optional):

Manager Assessments/Comments (Recommended) - required if an “Unsatisfactory” rating was given.

Lee joined the Boston office in August. He took over the busiest TA desk with very little training on the accounts. He has good system knowledge, specifically DSE and eTran. He is willing to help out the other associates if he has the time. For example, he has helped some of the associates with more efficient ways to use DSE. Lee provides excellent customer service and is attentive to client requests. He works well with other areas of the Bank. Lee is a hard worker and doesn't mind putting in extra hours if necessary.

Lee needs to improve in some areas. He needs to work on his organizational and time management skills. Lee can get the work done, he just needs to focus on prioritizing what needs to get done and in what order. Lee sometimes does not complete a task by a certain deadline due to working on less important items, which hurts his overall productivity. Lee also needs to improve his understanding of GICs and LOCs.

I have moved around some accounts for 2009 that I think will help Lee improve his productivity and give him a little bit more time to get his desk completely organized.

Values: The Bank of New York Mellon is a client-focused, trusted financial institution driven by an empowered global team dedicated to outperforming in every market it serves. Each employee should dedicate time and effort to the vision and values of our company. For definitions and behavioral/ performance indicators for each value, please click here [Values](#).
 Managers are to comment on how the Company’s Values were demonstrated in the employee’s performance.

Values
Client Focus: Being our clients’ “partner of choice” by delivering the world’s best client service
Trust: Acting with the highest standards of integrity and openness to ensure the trust of those we serve
Teamwork: Fostering diversity and collaboration, and empowering employees to deliver our very best
Outperformance: Consistently exceeding the expectations of our clients, employees, communities and shareholders

Values Assessments/Comments:

Employee’s Self-Assessments/Comments (Optional):

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Manager Assessments/Comments (Recommended) - required if an "Unsatisfactory" rating was given.

Lee exhibits the values by providing great customer service, always treating everyone in the office with respect and generally keeping a positive attitude.

Section II: Competencies and Values

Year-end Overall Assessment for Competencies and Shared Values:

<input type="checkbox"/>	(1) Outstanding	<input type="checkbox"/>	(2) Exceeds Expectations	<input checked="" type="checkbox"/> XX	(3) Meets Expectations	<input type="checkbox"/>	(4) Below Expectations	<input type="checkbox"/>	(5) Unsatisfactory *
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(N) Too New to Rate

Section III: Managing Risk Competency

Managing Risk is the responsibility of every employee. While a certain level of risk is inherent in all business activity, the purpose of this competency is to promote early detection, elevation and mitigation of those risks that may bring about operational errors or adverse customer impact, compliance breaches, financial loss or impairment of the Company's reputation. Refer to the Competency Guide for definition and performance indicators.

Managing Risk Competency	Year-end Assessment				
	1	2	3	4	5
The ability to understand, assess and minimize the risks associated with business processes, transactions, information, etc.			X		

Managing Risk Competency Assessments/Comments:

Employee's Self-Assessments/Comments (Required):

Manager Assessments/Comments (Required)

Overall, Lee does a good job of minimizing risk. He does a good job handling debt service payments and makes minimal errors in other processing. I would like to see Lee improve when it comes to uninvested cash. He now knows the importance of making sure all funds are invested correctly and promptly, so I believe that he will improve in this area in 2009.

Section III: Managing Risk Competency

Year-end Overall Assessment for Managing Risk Competency:

<input type="checkbox"/>	(1) Outstanding	<input type="checkbox"/>	(2) Exceeds Expectations	<input checked="" type="checkbox"/> XX	(3) Meets Expectations	<input type="checkbox"/>	(4) Below Expectations	<input type="checkbox"/>	(5) Unsatisfactory *
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(N) Too New to Rate

Section IV: Summary Performance Rating and Signatures (to be completed during year-end assessment)

Ratings for Performance Results by sub-category — Results-based Goals, Competencies and Values and Managing Risk Competency

The sub-categories are not weighted. Managers are to use their judgment for the Overall Performance Rating.

Section I: Results-based Goals - OPTIONAL									
<input type="checkbox"/>	(1) Outstanding	<input type="checkbox"/>	(2) Exceeds Expectations	<input type="checkbox"/>	(3) Meets Expectations	<input type="checkbox"/>	(4) Below Expectations	<input type="checkbox"/>	(5) Unsatisfactory *
Section II: Competencies and Values									
<input type="checkbox"/>	(1) Outstanding	<input type="checkbox"/>	(2) Exceeds Expectations	<input checked="" type="checkbox"/> XX	(3) Meets Expectations	<input type="checkbox"/>	(4) Below Expectations	<input type="checkbox"/>	(5) Unsatisfactory *
Section III: Managing Risk Competency									
<input type="checkbox"/>	(1) Outstanding	<input type="checkbox"/>	(2) Exceeds Expectations	<input checked="" type="checkbox"/> XX	(3) Meets Expectations	<input type="checkbox"/>	(4) Below Expectations	<input type="checkbox"/>	(5) Unsatisfactory *

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*A performance improvement plan must be created for anyone receiving an “Unsatisfactory” rating.

Overall Performance Rating (derived from sub-category ratings):



	(1) Outstanding		(2) Exceeds Expectations	XX	(3) Meets Expectations		(4) Below Expectations		(5) Unsatisfactory *
	(N) Too New to Rate								

Overall Manager’s Comments (Recommended) – required if the Overall Rating is Unsatisfactory.

This review is for the period 8/3/08 until the end of 2008. I have attached Lee’s mid-year review that covers most of the remaining 2008 period. Overall, Lee is a valued member of this office. Now that his book of accounts has been changed, I feel that Lee will improve his performance in 2009.

Overall Employee’s Comments (Optional):

Performance Review Confirmation Signatures and Dates

Performance Planning (by 4/30/08)	Employee Signature/Date	Manager Signature/Date	Next-level Manager Signature/Date
Mid-Year Progress Review (July) OPTIONAL	Employee Signature/Date	Manager Signature/Date	Next-level Manager Signature/Date
Year-end Assessment (by 1/15/09)	 1/15/09	 1/15/09	Next-level Manager Signature/Date

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Section V: Career/Development Plan and Signatures

During the performance planning period, managers and employees establish a development plan to focus on career and development at The Bank of New York Mellon. The plan focuses on areas of strength related to the competencies and areas that need to be improved, enhanced or developed. The intent is to provide a vehicle to help facilitate constructive dialogue around career advancement and/or development at The Bank of New York Mellon.

Progress regarding the plan should be discussed informally throughout the year and can be discussed formally during the mid-year progress review. Progress and updates should also be discussed during the year-end assessment process.

Objective -	Description -	
Career/Development Activities:	Progress / Resources	Start Date / End Date
1.		
2.		

Objective -	Description -	
Career/Development Activities:	Progress / Resources	Start Date / End Date
1.		
2.		

Objective -	Description -	
Career/Development Activities:	Progress / Resources	Start Date / End Date
1.		
2.		

Employee Comments (Optional):

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Manager Comments (Recommended)

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Career/Development Plan Review and Approval

Development Plan (by 4/30/08)	Employee Signature/Date	Manager Signature/Date	Next-level Manager Signature/Date (Optional)
Mid-Year Progress Review (July) OPTIONAL	Employee Signature/Date	Manager Signature/Date	Next-level Manager Signature/Date (Optional)
Year-end Review (by 1/15/09)	Employee Signature/Date	Manager Signature/Date	Next-level Manager Signature/Date (Optional)