

APT Performance Evaluation Checklist & Worksheet

Use this checklist and worksheet when establishing expectations, providing feedback, and completing evaluations. The [APT Performance Evaluation Guide](#) provides additional detail and is referenced throughout this checklist. Enter information into [the PES](#)

Phase I - Plan and Establish Expectations *Within 1 month of Evaluation Period Start Date*

Tasks	Notes & Subtasks
Identify Appropriate Evaluation Period	<ul style="list-style-type: none"> ● Identify evaluation periods for staff you supervise. The standard APT performance evaluation period of Nov 1 through Oct 31, generally applies to APTs with employment security (served 3 yr probationary period). Exceptions - APTs new to UH, APTs in a new appointment and employees who do not meet performance expectations.
Create an Evaluation Timeline	<ul style="list-style-type: none"> ● Identify milestones for each employee's evaluation period using the Evaluation Timeline & Supervisor Notes below. ● Create reminders in your personal calendar especially if you supervise multiple employees with varying evaluation periods.
Establish Performance Expectations	<ul style="list-style-type: none"> ● Ensure Position Description Accuracy by reviewing PD prior to beginning of evaluation period. If revisions are needed, update in the Position Description Generator (PDG). ● Draft 5-7 Performance Expectations prior to or soon after evaluation period begins. List in the Expectations Worksheet in preparation for discussion with employee. ● Review the UH Performance Factors & Performance Categories. <ul style="list-style-type: none"> ○ Seven Performance Factors are used to assess performance ○ Ratings are provided in three Performance Categories: Competency, Quality, and Productivity
Communicate Performance Expectations	<ul style="list-style-type: none"> ● Communicate Expectations, UH Performance Factors and Performance Categories with your employee. Refer to Communicate Performance Expectations with Employee ● Encourage employee to provide feedback and ask questions about expectations. ● Consider comments received from employee and revise expectations as appropriate. ● Enter finalized expectations in the PES. (PES Tutorial)

Phase II - Provide Ongoing Feedback *Throughout Evaluation Period*

Tasks	Notes
<p>Discuss performance throughout the Evaluation Period</p>	<ul style="list-style-type: none"> ● Meet throughout the evaluation period with your employee to discuss performance. ● Document discussions using Evaluation Timeline & Supervisor Notes worksheet and enter in PES. ● Planning, conducting and documenting feedback meetings: see Providing Ongoing Feedback, Performance Conversations Best Practices ● Note: See Substandard Performance section of the guide if you have provided feedback on areas for improvement and employee performance is still not meeting expectations.

Phase III - Complete UH Performance Evaluation *Due 2-3 weeks after the Evaluation Period ends*

Tasks	Notes
<p>Determine UH Performance Evaluation Ratings</p>	<ul style="list-style-type: none"> ● Rate employee on the three UH Performance Categories for the evaluation period. To determine, reflect on the evaluation period as a whole considering feedback discussed, the UH Performance Factors, and relevant successes and challenges experienced over the period. See Performance Evaluations FAQ. <p><i>Note: If a “Does Not Meet” rating is being contemplated, discuss with your HR Rep and Dean, Director or designee prior to discussing with employee. Refer to the Substandard Performance FAQ.</i></p>
<p>Communicate Ratings to Employee</p>	<ul style="list-style-type: none"> ● Communicate ratings to your employee before entering into PES.
<p>Enter & Certify Ratings in PES</p>	<ul style="list-style-type: none"> ● Performance Evaluation System, PES Tutorial ● Employees will receive an automatic email notification once ratings are entered in PES.

Expectations Worksheet

List 5 to 7 of the most essential Duties and Responsibilities below and [draft corresponding expectations](#).

Employee Name:

Duty and Responsibility in Position Description (PD)	Draft Expectation
<i>Example: Provides college-wide training of all administrative/support staff to ensure fiscal documents are processed in accordance with applicable Federal, State, and UH policies, regulations, and laws.</i>	<i>Example: Develop and conduct monthly training for new college support staff on fiscal procedures and produce a corresponding "how to" guide by March.</i>

Communicate Draft Expectations, Performance Factors, and Performance Categories to Employee

Consider comments received from employee and revise expectations as appropriate. List finalized expectations in the Expectations Discussion Guide (see below) and enter in [the PES](#).

Example Draft Performance Expectation	Example Revised Expectation after discussion
<i>Example: Develop and conduct monthly training for new college support staff on fiscal procedures and produce a corresponding "how to" guide by March.</i>	<i>Example: Develop and conduct <u>quarterly</u> training for new college support staff on fiscal procedures and produce a corresponding "how to" <u>draft</u> guide by March.</i>

Expectations Discussion Guide

Communicate Performance Expectations, UH Performance Factors and Categories with the employee.

Employee Name:

Evaluation Period:

Performance Expectations, developed by supervisor	UH Performance Factors for all APTs
<i>Enter your expectations in this column</i>	Communication Skills - Possesses effective communication skills: oral, written, listening.
	Problem Solving and Decisions Making - Displays ability to define a problem, develops workable and realistic alternatives, and selects appropriate alternative to resolve problem. Decisions made are generally correct, and the time taken to make such decisions is reasonable.
	Planning, Organizing and Implementing Tasks or Projects - Displays ability to effectively plan, organize and implement applicable tasks or projects in relation to established goals and objectives.
	Dependability - Completes job assignment and projects with minimal supervision. Meets schedules and deadlines.
	Cooperation - Accepts instructions, assignments, technical guidance in a cooperative manner. Works with other employees to accomplish program or project goals and objectives.
	Effort and Initiative - Displays positive and supportive effort and initiative.
	Interpersonal Relations - Establishes and maintains effective working relations with employees and others within and outside the organization/University.

UH Performance Categories & Rating

See guide for more information on [completing the UH Performance Evaluation](#)

Competency <i>Possesses and applies knowledge and skills necessary to do the job or complete the project</i>	Quality <i>Work is accurate, neat and thorough. Employee is able to apply instructions, technical principles, and methodologies; analyze and interpret findings; and interpret/apply applicable laws, policies, rules and regulations</i>	Productivity <i>Amount of work produced meets expectations. Employees output is regular, consistent and produced on schedule.</i>	Overall Performance Rating
MEETS - DOES NOT - EXCEEDS	MEETS - DOES NOT - EXCEEDS	MEETS - DOES NOT - EXCEEDS	MEETS - DOES NOT - EXCEEDS

Evaluation Timeline & Supervisor Notes

[Identify your employee's evaluation period](#), enter the relevant milestones, and set reminders for yourself using this template. Example schedules for both the standard evaluation period (Nov 1-Oct 31), and a six-month new probationary period (i.e. employee appointed to new position) are provided in their respective columns below.

Employee Name:

Milestone	Your Dates	Example Dates - Standard Evaluation	Example Dates - 6-month probation; Employee in new position effective January 1	Topic(s) Discussed	Discussion Notes
Draft & Discuss Expectations with employee, revise & enter into PES		November 15	January 5		

Milestone	Your Dates	Example Dates - Standard Evaluation	Example Dates - 6-month probation; Employee in new position effective January 1	Topic(s) Discussed	Discussion Notes
Ongoing feedback meeting 1		<i>November - August</i>	<i>January 31</i>		
Ongoing feedback meeting 2		<i>November - August</i>	<i>February 15</i>		
Ongoing feedback meeting 3 Note: Add more rows as necessary.		<i>November - October</i>	<i>March 1</i>		
Determine UH Performance Ratings & Communicate Ratings to Employee		<i>October 15 - October 31</i>	<i>June 15</i>		
Enter & Certify Ratings in PES		<i>2-4 weeks after Evaluation Period end date</i>	<i>On or before June 30</i>	N/A	N/A