

Prepared by Office of Human Resources.
This is a NEW Procedure.

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BOR PERSONNEL

A9.170 ADMINISTRATIVE, PROFESSIONAL, TECHNICAL (APT) EMPLOYEES
PERFORMANCE EVALUATION

1. Purpose

To implement Board of Regents' Policy, Evaluation of Board of Regents Appointees, Section 9-15, and Executive Policy, E9.203, Evaluation of Board of Regents' Appointees. The purpose of the Performance Evaluation is to give both the supervisor and the employee an opportunity to review and to discuss the individual's performance and performance expectations and factors as identified on the performance evaluation form. Performance evaluation is a continuous process which benefits both the employee and the University.

2. Objectives

- a. To develop on a systemwide basis a uniform and consistent employee performance evaluation program for APT employees;
- b. To facilitate supervisor-employee discussions relative to performance and to accomplish this in a supportive climate; and
- c. To document information that may be used for determination of employment status, e.g., conversion from probationary to employment security.

3. Applicability/Responsibility

- a. This evaluation process is intended to apply to all APT personnel appointed by the Board of Regents. UH Form 70, APT Employee Performance Evaluation Form, will be used for the evaluation.
- b. The Chief Executive Campus Officer or Official Designee shall be responsible for implementation of the performance evaluation process within their own jurisdictions.

- c. Immediate supervisors shall be required to evaluate the individual work performance of APT personnel under their supervision, in accordance with the guidelines set forth below.

4. References

- a. Board of Regents' Policy, Section 9-15, Evaluation of Board of Regents' Appointees.
- b. Executive Policy, E9.203, Evaluation of Board of Regents' Appointees.
- c. Article 9 - Employment Security, and Article 10, F - Employment Rights, Unit 08 U.H. Administrative, Professional and Technical Employees Collective Bargaining Agreement.

5. Principles

- a. It is important to encourage and to facilitate supervisor-employee discussions relative to performance and to accomplish this in a supportive climate. Timely and meaningful discussion between supervisor and employee is a necessary part of the evaluation process.
- b. Supervisors are encouraged to conduct periodic discussions on performance expectations and results, and to provide positive reinforcement and recognition of outstanding achievements, as well as to constructively discuss any needed performance changes to support the University's mission.
- c. Employees are encouraged to discuss the areas of potential growth, skills enhancement, and opportunities to further engender job satisfaction, career development and successful performance.

6. Procedures

Formal performance evaluations shall be conducted in accordance with the following:

- a. Evaluation Periods
 - 1) Initial Probationary Employee Without Employment Security

An initial probationary employee **shall** receive three evaluations during the probationary period:

- a) **On or before** the end of the twelfth month of service following the initial appointment (covers 1st through 12th month),
- b) **On or before** the end of the twenty-fourth month of service following the initial appointment (covers 13th through 24th month), and
- c) **On or before** the end of the thirty-sixth month of service following the initial appointment (covers 25th through 36th month).

Example:

If an individual is initially appointed on 4/1/94, the three-year probationary period will be through 3/31/97. The employee shall be evaluated on or before 3/31/95, 3/31/96 and 3/31/97, respectively.

2) Employee With Employment Security

After an employee has gained employment security in accordance with Article 9 - Employment Rights, Unit 08 collective bargaining agreement, the performance evaluation **shall** be conducted at least once every three years based on the employee's date of hire. The three (3) year period is calculated from the employee's date of last hire into bargaining unit 8.

3) Employee Who Accepts Another APT Position

An employee with or without employment security who accepts another APT position and is placed in a new probationary status for six months in accordance with Article 9 - Employment Rights of the Unit 08 collective bargaining agreement, **shall** be evaluated **on or before** the expiration of the six months probationary period. If the six months probation is extended for another six months, the employee shall be given the reasons for the extension and the evaluation **shall** be conducted **on or before** the expiration of the extended

probationary period.

An employee **without employment security** who accepts a new APT position during the employee's initial probationary period must still satisfactorily complete the three years initial probationary period required for employment security. The six months probationary period for a new APT position may overlap with the three years initial probationary period but does not extend the three years initial probationary period. An employee who accepts a new APT position may be evaluated on or before the end of the employee's initial probationary period in addition to being evaluated prior to the end of the new six months probationary period. An overall rating of "Does Not Meet " during the employee's six months new probationary period may adversely affect the overlapped three years initial probationary rating for employment security.

4) Employee Whose Performance Does Not Meet Performance Expectations

Whenever an employee's overall performance does not meet performance expectations, a formal evaluation may be processed using UH Form 70. However, the supervisor shall inform and discuss the employee's performance with the appropriate Dean, Provost, Director, or designee **before** finalizing and discussing the formal performance evaluation with the employee, in accordance with procedures set forth herein.

5) Partial Performance Evaluations

When an employee leaves the position prior to the completion of a scheduled evaluation (e.g., initial probationary period, triennial review or probationary period upon acceptance of a new APT position), the supervisor should complete a partial performance evaluation for the employee to evaluate performance for the period up to the employee's separation from the job. It is not necessary for a partial performance evaluation to be completed if an evaluation was completed no

more than six months prior to the date of separation from the job position.

b. Official Evaluation Form

UH Form 70, APT Employee Performance Evaluation Form, shall be used for performance evaluations.

c. Review of Position Description and Performance Expectations

Prior to or at the beginning of the evaluation period, the supervisor shall meet with the employee to review the official position description, work assignments, and discuss the supervisor's expectations for the evaluation period. If the employee believes that the performance expectations established by the supervisor are not consistent with the work assignments and position description, the employee may request that the performance expectations be reviewed for appropriateness by an appropriate level of authority above that of the immediate supervisor.

The employee's official position description shall be reviewed for currency and accuracy. If a redescription of the position is necessary, such shall be submitted in accordance with Administrative Procedures A9.250, Position Description for APT Personnel.

In the event that the employee's duties and responsibilities **significantly change** at any time during the evaluation period, good management practice requires supervisors to discuss with the employee those significant changes in duties and responsibilities, work assignments, and performance expectations that will affect the performance evaluation. In addition, the supervisor should provide appropriate training and time for the employee to adjust to the changes in assigned duties as determined by the supervisor.

When significant changes in duties and responsibilities occur, the supervisor will initiate revisions to the position description in accordance with Administrative Procedures A9.250, Position Description for APT Personnel. The position description received by Office of Human Resources (OHR) shall be deemed the official position description.

d. Completed Evaluations

- 1) The immediate supervisor shall discuss the evaluation, including any attachments, with the employee. The employee shall be offered the opportunity to sign the evaluation form to indicate that the evaluation has been discussed with the employee, and that the employee was provided an opportunity to attach explanatory remarks. The employee's signature does not necessarily mean that the employee agrees with the evaluation; nor is the employee required to sign.
- 2) After completion, the evaluation form with any attachments shall be filed in the employee's official personnel file. One copy with any attachments, if applicable, shall be provided to the employee. The evaluation form (UH Form 70) attached to this administrative procedure is the official form to be used and may be reproduced and shall be used to conduct performance evaluations.

e. Performance Ratings

- 1) Employee's Performance Exceeds Performance Expectations
 - a) When an employee's job performance is outstanding or warrants special recognition or commendation, the immediate supervisor may prepare a letter of commendation at any time or in conjunction with the completion of a formal performance evaluation. The letter of commendation should describe the basis, (e.g., nature of outstanding performance, special accomplishments, etc.) for determining that the employee's job performance has been outstanding. The letter of commendation should be addressed to the employee and a copy placed in the official personnel file.
 - b) When the employee has accomplished significant achievements, the supervisor may notate such in the Comments column on UH Form 70.

2) Employee's Performance Meets Performance Expectations

When an employee's overall performance meets performance expectations, complete UH Form 70 in accordance with the procedures prescribed herein. Any comments written on the UH Form 70 should be discussed and reviewed with the employee.

3) Employee's Performance Does Not Meet Performance Expectations

a) When an employee's performance does not meet performance expectations, a formal evaluation reflecting a "Does Not Meet" overall rating may be issued at any point in time during the evaluation period or at the end of an evaluation period.

b) Prior to effectuating a formal performance evaluation reflecting a "Does Not Meet," the supervisor **should have** already reviewed the performance expectations with the employee at the start of the evaluation period, monitored the employee's work performance during the evaluation period, provided training as necessary, and provided performance feedback to the employee on areas for improvement.

If the supervisor still determines that an employee's overall performance does not meet the performance expectations, a formal performance evaluation using UH Form 70 may be processed. However, the supervisor shall discuss the evaluation with the respective Dean, Provost, Director or designee **prior** to finalizing and discussing the formal evaluation with the employee.

c) Whenever a rating of "Does Not Meet" is determined, the supervisor **shall complete** the Comments column on UH Form 70 to provide supporting rationale for the rating.

f. Employee **With** Employment Security Whose Performance Does Not Meet Performance Expectations - **Opportunity to Improve Performance**

When an employee with **employment security** has been given a formal "Does Not Meet" performance evaluation, the employee with employment security shall be afforded an opportunity to improve performance to a level that meets performance expectations.

- 1) The employee with employment security shall have six months to improve performance to a level that meets performance expectations (performance improvement period). Such period may be extended for an additional three months not to exceed a total of nine months following receipt of the "Does Not Meet" performance rating.
- 2) At the start of the six months performance improvement period (or any extension thereof), the immediate supervisor shall inform the employee **in writing** of: (1) the specific areas in which the employee's performance does not meet performance expectations, (2) the expectations and factors that the employee must meet to improve performance to the level that "meets" performance expectations, and (3) the duration of the performance improvement period (six months with a possible three months extension).
- 3) If the employer determines based on discussions with the employee with employment security that the employee shall participate in training as part of the employee's performance improvement program, the six months performance improvement period shall commence following completion of such training. The supervisor shall work with the employee and monitor the performance of the employee during the performance improvement period.
- 4) The immediate supervisor should evaluate the employee with employment security upon completion of the performance improvement period (or any extension thereof) using UH Form 70.
 - a) If the employee's performance has not improved to a level which meets the performance expectations within the six months (or any extension thereof) established by the immediate supervisor, the employer

shall initiate appropriate action.

b) For the employee with employment security, whose position classification has changed from one series to another series in the APT Classification and Compensation Plan during the evaluation period immediately preceding the performance improvement period, the employee shall be provided an additional nine months beyond the initial nine months performance improvement period. The additional nine months is for the purpose of improving the employee's job performance to meet performance expectations, provided that funds are available for the employee's position and that the position encumbered by the employee continues to be authorized. At the end of the eighteen months performance improvement period, the employer shall initiate appropriate action.

5) The six months (or any extension thereof) performance improvement period shall **not** be applicable to an employee with employment security who is appointed to a new APT position and is serving the six months probationary period or any extension thereof.

g. Employee **Without** Employment Security Whose Performance Does Not Meet Performance Expectations

If the work performance of an employee without employment security does not meet performance expectations, the employer shall initiate appropriate action.

STEP 1: PERFORMANCE FACTORS

(Review and consider the performance factors applicable to the job when determining the rating for each of the Performance Categories)

PROBLEM SOLVING AND DECISION 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.

COMMUNICATION SKILLS: Possesses effective communication skills: oral, written, listening.

INTERPERSONAL RELATIONS: Establishes and maintains effective working relations with employees and others within and outside the organization/University.

STEP 2: PERFORMANCE CATEGORIES

(Based on and in consideration of the Performance Factors identified above, rate the employee in all 3 Performance Categories)

CATEGORIES	MEETS	DOES NOT MEET	COMMENTS (Achievements, areas for improvement, general feedback)
COMPETENCY: Possesses and applies knowledge and skills necessary to do the job or complete the project.			
QUALITY: 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.			
PRODUCTIVITY: Amount of work produced meets expectations. Employee's output is regular, consistent and produced on schedule.			

STEP 3: OVERALL PERFORMANCE RATING

(All 3 Performance Rating Categories Must be "Meets" to be rated overall "Meets")

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INSTRUCTIONS

SECTION A (Review of Position Description, Work Assignments, and Performance Expectations/Factors)

The immediate supervisor should meet with the employee prior to or at the beginning of the evaluation period to review the official position description and discuss work assignments and performance expectations/factors. If the employee believes that the performance expectations established by the supervisor are not consistent with the work assignments and position description, the employee may request that an appropriate higher level authority above the immediate supervisor review for appropriateness. The official position description is not intended to be a detailed listing of every single task required to perform the job; it normally reflects the major duties and responsibilities that encompass those specific tasks which the employee is required to perform. The official position description must be current. If appropriate, a revised position description shall be prepared and submitted in accordance with Administrative Procedures A9.250. Upon the signature of the supervisor and reviewing authority and receipt in the Office of Human Resources, the revised position description shall be deemed official.

SECTION B (Type of Performance Evaluation and Rating Period)

1. Indicate the period for which evaluation is being conducted.
2. Check off the type of performance evaluation being conducted.
 - a. Employee Serving Initial 3-year Probation (Annual Evaluations)
 - b. Employee with Employment Security (at least once every 3 years)
 - c. Employee (with or without employment security) who is appointed to a new APT position (six months new APT probationary period that may be extended for six months)
 - d. Employee whose performance does not meet performance expectations (any time) (Note: To be used at any time for evaluating and informing an employee whose work performance is not meeting performance expectations, including during any probationary period or triennial review.)
 - e. Employee with employment security during performance improvement period. (Note: To be used for evaluating an employee at the end of the six or nine months performance improvement period.)
 - f. Partial evaluation.

SECTION C (Performance Factors/Categories and Overall Rating)

1. Evaluations should be completed on or before the end of any evaluation period or any extension thereto. If an employee's or supervisor's absence from work (authorized or unauthorized absence) should preclude the supervisor from discussing the evaluation with the employee, the evaluation shall be finalized on or before the prescribed deadline but may be discussed with the employee upon the return to work of the employee or supervisor from such absence. An explanatory notation to this effect should be recorded.
2. **Step 1:** Review the seven Performance Factors and determine those factors applicable to the employee's job. Consider these factors when determining the rating for each of the Performance Categories.

Step 2: In the context of the applicable Performance Factors identified in Step 1, rate the employee's job performance ("Meets" or "Does Not Meet") in each of the Performance Categories: Competency, Quality and Productivity.

Step 3: Determine and indicate the employee's overall performance rating ("Meets" or "Does Not Meet"). An overall rating of "Meets" requires individual

ratings of “Meets” in all three Performance Categories: Competency, Quality and Productivity.

3. The Comments column should be used to recognize achievements, areas for improvement and general feedback on employee’s performance. Letters of commendation that give special recognition of outstanding accomplishments or commendations may be attached to the UH Form 70. Whenever a rating of “Does Not Meet” is selected, the supervisor **shall complete** the Comments column to provide supporting rationale for the “Does Not Meet” rating.

Any comments made on the form shall be reviewed and discussed with the employee.

4. Whenever an employee’s overall performance rating reflects “Does Not Meet,” the supervisor shall discuss the evaluation with the respective Dean, Provost, Director or designee **prior** to finalizing and discussing the formal evaluation with the employee.

SECTION D (Signatures and Distribution)

1. The supervisor shall review the evaluation and any attachments with the employee and inform the employee that she or he may attach any explanatory remarks. The employee will be afforded the opportunity to sign (employee may decline to sign) the evaluation form to indicate that the evaluation has been discussed with the employee.
2. For employees whose overall rating reflects a “Does Not Meet,” forward the evaluation and any attachments to the reviewing authority for appropriate review and signature.
3. After signatures are obtained, the evaluation form and any attachments shall be filed in the employee’s official personnel file and a copy of the evaluation and any attachments shall be given to the employee.