



## Performance Evaluation Procedures

### Unit 4 – Academic Professional of California (APC)

#### Purpose

To provide general guidelines to HEERA supervisors and managers of the Cal Poly Pomona Performance Evaluation procedures established for support staff employees in Unit 4. Evaluations are conducted during the employee's probationary period, and annually thereafter. The frequency or review cycle for the employee Performance Evaluation Report is noted in the employee's Appointment/Offer Letter, and in the respective Collective Bargaining Agreements. The evaluator may choose to evaluate an employee more often than the prescribed intervals.

For your convenience the appropriate evaluation procedures by bargaining unit and forms, are available on the Human Resources Department website. For personal assistance, please contact the Human Resources Department.

#### Evaluator - Form Preparation

- From the Human Resources website, download the new Unit 4 Performance Evaluation Form (version 7/02). The form is in Microsoft Word.
- Obtain a copy of the employee's current Position Description, preferably in electronic format.
  - ❖ Review the Position Description and identify the employee's core job responsibilities. These are usually found in "Major Responsibilities" section and are broken down by percentage (%), **OR** in the "Essential Functions" section in narrative form. This is a critical step since this information will define the key areas where employee performance is evaluated.
- Using the downloaded Performance Evaluation Form above, under the heading of "Essential Functions" insert each of the sections identified above from the Position Description.
- If the sections are too big or include too many areas of responsibility, it may be necessary to break down the key areas separately and create additional lines to facilitate the actual evaluation of these functions. A good indicator is to focus on the percentages assigned to these functions. However, do not change the actual language used in the Position Description. Remember, you are only inserting the identified sections.
- The Performance Evaluation Form is designed to accurately capture the Position Description.

#### Evaluator – Draft Performance Evaluation Form

1. The Evaluator is expected to use information gathered through direct observation or supervision of the employee's work performance during the review period. Review previous performance evaluations, supporting materials, and recent appointment letters. In the absence of direct observation or supervision, the Evaluator can refer to the official personnel file. Be advised that any documents referenced in the draft evaluation that are not part of the employee's official personnel file at the time the draft is submitted to the employee shall be placed in the official personnel file at that time. Please check the appropriate box on the form.
2. After reviewing the now completed "Essential Functions" section of the form, insert the appropriate rating from the "Rating scale". The form is not currently designed to include narratives. This is a major change from the previous format, which was mainly narrative.
3. Prepare an initial "**Draft**" of the performance evaluation for the Unit 4 employee. Make a notation of the date on the form. The form is is not final at this point.
4. Prior to the meeting with the employee to discuss the draft report, the evaluator may request the employee to complete a self-evaluation, which will also be discussed during the performance evaluation meeting. The performance evaluation cannot be finalized until after 14 calendar days have passed from when the employee received their copy. Set aside sufficient time to engage in dialogue with the employee.



### Employee Meeting

5. Provide the employee with a draft copy of the evaluation and position description **prior** to the performance evaluation meeting and inform the employee **in writing** of the date, time, place and purpose of the evaluation meeting
6. During the meeting, the evaluator should encourage the employee to discuss his/her opinions and observations regarding the content of the evaluation.
7. The employee has 14 calendar days to review the “**Draft**” performance evaluation and submit a written or verbal rebuttal (if any), to the MPP Evaluator, before the evaluation is finalized. They may request that the rebuttal and the draft be included in the official personnel file. This request will be granted. The employee may engage in additional discussions with the Evaluator, submit additional materials, and obtain evaluative material from campus/community personnel familiar with their work.

### MPP Evaluator – Finalizes Evaluation & Distribution

8. At the end of the 14 calendar days, the MPP evaluator can finalize the Performance Evaluation Form. The employee may or may not have provided the MPP Evaluator with additional information to consider. The evaluator is encouraged to give serious consideration to the feedback received by the employee and determines whether the new information materially changes the initial ratings.
9. The MPP Evaluator prepares the final evaluation and obtains appropriate signatures.
10. The employee is given a copy of the finalized Performance Evaluation form and asked to sign. If the employee refuses or declines to sign the evaluation, the evaluator must indicate this on the form. Failure to sign does not invalidate the evaluation or the importance of the performance evaluation meetings.
  - The Original is sent to the Human Resources Department for placement in the employee’s Official Personnel File.
  - Retain a copy of entire Performance Evaluation Report and attachments for department files.

### Employee Response

If the Unit 4 employee disagrees with the final performance evaluation, they may submit a rebuttal statement that will be attached to the final performance evaluation. Both the rebuttal and the final performance evaluation will be included in the official personnel file.

**A Word of Caution** - Please note that while the Performance Evaluation is not subject to the Grievance Procedure, failing to follow the stated processes and timelines may be an objection filed through the Grievance Procedures.

### Post Evaluation

The Manager may consider developing an Action Plan or a Needs Assessment, to assist the employee bridge some of the performance gaps identified in the evaluation process. Areas identified for improvement may benefit from additional supervision, training, and/or coaching and counseling. Of course, if necessary managers may need to use progressive discipline.



### APC Performance Evaluation Ratings Guideline

All ratings are based on the employee's current job description.

- **Outstanding** – Employee meets all “commendable” criteria and constantly exceeds job function and performance criteria expectations. Employee executes all of the above at the exceptional level demonstrating a solid contribution that is innovative and/or addresses an issue that impacts at the department, division or University level.
- **Commendable** – Employee meets all “satisfactory” criteria and frequently exceeds job function and performance criteria expectations. Employee executes all of the above with confidence and minimal supervision.
- **Satisfactory** – Employee is consistently performing at a proficient and competent level and at times may exceed expectations. Employee is considered a competent solid member of the organization. Manager feels confident in making any kind of assignment within the scope of the job.
- **Needs Improvement** - Employee meets some, but not all job functions and performance criteria expectations. Frequently performs below defined expectations.
- **Unsatisfactory** - Employee consistently fails to meet primary job functions and performance criteria expectations. Immediate improvement is required in this substandard area to avoid potential dismissal.