

# **HUMBOLDT** **STATE UNIVERSITY**

## Guide to Performance Management

For Staff Performance Evaluation

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# Section 1

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## Content Overview

This guide is intended to be a resource for individuals responsible for evaluating staff job performance. It may also assist staff who are being evaluated to better understand the staff evaluation process. This guide does not apply to the evaluation of faculty or management positions. The topics covered in the material include:

- A review of the HSU performance management process
- How to develop performance expectations, standards, and goals
- Translating subjective assessments into objective terms
- Writing performance evaluations using objective, behavioral descriptions
- Conducting a structured performance evaluation meeting

The goal of the HSU performance evaluation process is two-fold: development and collaboration. This is an opportunity for you and your employees to focus on their development. In addition, it should be a collaborative process. It is not you, as the evaluator, giving a report card to the employee, but an interactive exchange about the employee's performance.

## The HSU Performance Management Process

Performance management is the process by which evaluators and employees work together to plan, monitor, and review an employee's work objectives and overall contributions to the work unit. It is essential for helping HSU achieve its mission and strategic goals.

### Performance Management Steps:

- Plan the Work and Set Expectations
- Observe Individual Performance
- Develop the Capacity to Perform
- Evaluate Performance
- Recognize Successful Performance



## Section 2

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### Plan the Work and Set Expectations

#### Key Elements in the Planning Process

- Understand the mission, vision and values of HSU
- Know the work unit's mission, vision, and goals
- Have updated Position Descriptions and performance expectations of each employee
- Be familiar with the development areas noted on each employee's previous performance evaluation

#### Key Steps in the Planning Process

1. Ensure that the Position Description is current.

A review of the Position Description should be done every year. If duties in the position have changed that do not warrant a reclassification, revisions should be made and forwarded to the Human Resources Department as an Updated Position Description. The employee should also review their Position Description and be prepared to provide you with feedback regarding changes.

2. Identify the essential job functions within the Position Description.

This refers to the duties that must be carried out by the position – basically the reason the position exists. Have the essential functions changed? Do some need to be added? These essential functions can be used as a guide to setting performance expectations.

3. Develop performance expectations.
4. Develop performance standards and goals.
5. Identify applicable performance factors.

## Section 3

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### Plan the Work and Set Expectations — Define Performance Standards and Goals

Understanding the mission and goals of the University provides a context in which to develop the Position Description's alignment with performance standards and goals. It gives you a framework and a direction. Of primary importance, is the employee's ability to see how their Position Description links performance standards and goals to the mission of the department and the University.

#### Set Expectations

What is a Performance Expectation?

- Defines performance standards and goals
- Describes results expected for the fully satisfied performance of a job function/task identified in the employee's Position Description

When Should Performance Expectations be Set?

- When the Position Description is issued
- When an employee is hired
- At the beginning of any evaluation period
- When responsibilities are changed or added
- When clarification of responsibilities is needed

A performance expectation should be:

- Addressed in the employee's Position Description
  - ⇒ Example: CSUEU Evaluation Section D Goals or Improvement Programs
- Derived from mission, goals and values
- Mutually understood
- Developed collaboratively, if appropriate
- Descriptive of how a job is to be performed
- Descriptive of fully satisfactory performance standard
- Expressed in measurable/observable terms
- Reasonable and attainable

#### Define Performance Standards

What is a Performance Standard?

- Measures that provide employees with specific expectations for the tasks that make up each job duty
- Provides the foundation for assessing performance
- Describes the minimal level of acceptable performance



Examples of Performance Standards:

<b>Job</b>	<b>Job Duty</b>	<b>Task/Work to be accomplished</b>	<b>Expected level of success</b>	<b>Measurement</b>	<b>Performance Standard</b>
Office and Administrative Specialist	Office Support	Open Financial Aid office.	Promptly	At 8:00 a.m.	Open Financial Aid office promptly at 8:00 a.m.
	Preparation of Materials	Assemble training materials.	Accurately	Within two working days of request	Accurately assemble training materials within two working days of request
Food Service Supervisor	Inventory Control	Accept deliveries of food shipments and inventory them.	In person	Within two working days of delivery	Accept deliveries of food shipments from vendors in person, within two working days of delivery.
	Scheduling	Schedule and coordinate staffing of student employees.	Ensure proper coverage	Weekly	Schedule and coordinate staffing of student employees on weekly basis to ensure proper coverage.

## Set Goals

In performance planning, there are typically three types of goals that may be incorporated into the review:

**Development goals** — goals established for personal/professional growth

**Innovation goals** — goals established for creating a new process, function or program; higher level of service

**Improvement goals** — goals established to correct performance that is below standards and requirements

Goals should be defined when:

- Drafting and/or updating an employee's Position Description and evaluation
- Preparing the annual performance evaluation
- Performance needs improvement

Examples:

- Project-based
- Budget-based
- Program

In setting goals, use the **S.M.A.R.T.** formula:

Specific

- Precise terms
- Targeted

Measurable

- Means for tracking
- How much of what and by when

Attainable

- Stretch the employee without overloading them
- Evaluate the growth for the employee

Relevant

- Links to results
- Links to higher-level goals (dept.)

Trackable

- Timeframe for actions
- Completion dates



## Section 4

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### Observe Individual Performance

Performance management is a year round process which means feedback meetings should be held with employees throughout the year to discuss and reassess the employees' progress toward achieving goals and performance objectives. Feedback can be provided either formally or informally.

#### Observation

It is recommended that supervisors/leads observe their employees with the intent of documenting behaviors related to performance. Look for:

##### Trends in performance

- Is it steadily improving or declining?
- Does the individual have “peaks and valleys” – spurts of excellent performance followed by extended periods of mediocre performance?

##### Critical incidents

- Outstanding successes or failures
- Performance events that stand out from typical behavior

#### Providing Feedback

Feedback is an ongoing process to provide positive and constructive comments on behavior and performance. It is best given to the employee in a timely manner.

##### The STAR/AR Feedback Model

The STAR/AR feedback model is a tool to help you deliver positive or constructive feedback.

- The **STAR** section of the model issued to deliver positive feedback
- The full **STAR/AR** model should be used when you want to deliver constructive feedback

<b>S</b>	Situation	What was the performance challenge, opportunity or task?
<b>T</b>	or Task	
<b>A</b>	Action	What did they say or do that did or didn't meet the standard?
<b>R</b>	Result	What was the impact of their actions on you or others?

<b>A</b>	Alternate Action	What new action should be taken to reach a more effective result?
<b>R</b>	Enhanced Result	What is likely to occur as a result of taking the alternate action?

### Counseling

Counseling occurs when a performance problem or issue needs to be addressed to meet satisfactory level of the performance expectations. Counseling allows the supervisor to clarify performance expectations and identify resources to assist the employee in meeting acceptable performance standard. The Position Description is a valuable tool to reference during the Performance Evaluation process. Counseling should:

- Be verbal or written
- Identify the observed performance related to the employee’s Position Description and job performance standards
- Support the employee’s performance evaluation

### Documentation Examples

Experts in performance management recommend that evaluators spend 30 minutes a week documenting employee performance. Document performance in behavioral terms, rather than inferential or judgmental.

#### Structured Log

List the performance standards and goals for the evaluation cycle and provide space to document date, skills/behaviors exhibited, results of skills/behavior and other comments.

#### Unstructured Log

Informal documentation of performance events. For example, jot down notes about employee behavior in your critical incident journal/diary.

#### Work Samples

Maintain copies of work that illustrate the performance dimensions being measured.

#### Employee Administrative File

A file where notes about performance events and work samples can be maintained. Remember, this file could be viewed by others if necessary.



## Tips for Preparing Performance Evaluations

During the year and prior to the performance evaluation meeting, the evaluator should:

- **Observe**
- **Communicate**
- **Document**
- **Review**
- **Solicit**

**Observe** – Observing individual performance is crucial in order to fairly, objectively, and effectively coach for better performance, increased skills, and recognition of jobs well done. It is done through the year, not just before the performance.

Observing individual performance is an investment of time that will allow you to discover the strengths and growth areas of your employees.

**Communicate** – Regular communication during the year can reduce tension and anxiety about the Performance Evaluation on the part of the evaluator and the staff member. Outlining job performance expectations during the onboarding process of the employee or as the Position Description changes is essential during the employee onboarding. Providing verbal feedback on quality of work and how the employee performs the job regularly will provide the employee with guidance and reinforcement of performance expectations.

**Document** – During the review period, the evaluator should collect and record significant, job-related incidents that pertain to each performance criterion. This provides a factual basis for performance ratings and overall assessment. Documentation gathered should be accurate and specific, both positive and constructive, including the context in which they occurred as well as the date they occurred. It is important to distinguish between fact and opinion in documenting performance. Documentation should focus on facts. Facts are events, behaviors, or results. Facts are described through things that are known. (What was seen? What was heard?) Examples of documentation could include copies of a staff member's work product, notes of discussions between the staff member and evaluator, copies of communications between the staff member and the evaluator, or recorded observations of the evaluator and any written or verbal counseling issued to the employee.

**Review** – Periodic review of the Position Description and revision, as necessary, eliminates misunderstandings between the evaluator and the staff member regarding job responsibilities and expectations. Position requirements and assignments should be clear to the staff member. It is important to inform the staff member that position requirement and assignment may change. It is important that these changes are documented on the Position Description. Before writing a staff member's Performance Evaluation the evaluator should review the Position Description and confirm that it is accurate. If the Position Description is not accurate, a revised

Position Description should be submitted to Human Resources within 30 days. Position Descriptions need to be accurate and in alignment with the employee's classification. For any questions regarding Position Descriptions and the employee's classification, call Human Resources.

**Solicit** – To help reduce anxiety and create a positive environment for enhancing performance, the evaluator may ask the staff member to submit written input regarding their performance, including accomplishments relating to goals from the previous year and possible goals for the upcoming year. The staff member should be assured they are not being asked to write their own performance evaluation or to submit a self-evaluation, rather they are simply being provided an opportunity for input on their evaluation. Evaluators should let the staff member know that this input is not mandatory and that lack of written input from a staff member will not negatively impact the staff member's performance evaluation ratings.



## Section 5

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### Develop the Capacity to Perform

Employees who regularly sit down with their supervisor to discuss professional development and career growth opportunities are more likely to stay and work harder.

#### Development Discussion Steps:

1. Clarify purpose of the discussion
2. Meet and discuss strengths, development needs, and performance enhancement
3. Generate opportunities for development or performance enhancement
4. Set expectations about what needs to happen and by when
5. Motivate by identifying sources of support
6. Identify the plan to stay on track and know when the goals have been reached
7. Ask them to summarize the plan using an individual development plan

#### Creating an Individual Learning Plan

The Individual Learning Plan (ILP) is an organized approach to professional development activities and programs that are designed to improve the employee's professional skills and the department's productivity. This is a joint process, both in design and execution, that leads/ supervisors are more familiar with the department's future directions and the employee is more aware of specific, individual needs and aspirations.

Using employee input and your own observations, determine the developmental opportunities that will assist the employee in achieving short-term and long-term goals.

#### The Individual Learning Plan

Creating an Individual Learning Plan provides the employee a written document identifying the following:

- Development Goal
- Action Plans
- Potential Obstacles
- Support/Resources
- Progress Measurement
- Checkpoints
- Progress/Results

*Note: Example of ILP in Appendix B.*

## Performance Improvement Plan

A Performance Improvement Plan (PIP) is a formal way for supervisors and managers to address a performance issue as a result of not satisfactory levels of performance areas in any one or more areas of their annual performance appraisal. In these cases, it is typically recommended that an employee be issued a formalized PIP as the next step in addressing performance issues. A PIP memorandum outlining areas for improvement should be issued usually within two weeks from the annual evaluation and are usually in place for 3 or 6 months depending on the issues and the employee's improvement.

A PIP should outline the area of the performance evaluation the employee failed to satisfactorily meet standards, what they are expected to do to meet standards and a plan to assist them over the time period specified by the PIP memo. Supervisors and managers should then meet monthly with the employee for a formal counseling session as a means to provide feedback, give status updates on their performance and document their progress.

The initial formal PIP memo should be placed in the employee's personnel file as an attachment to the appropriate performance evaluation. The formal monthly counseling memos should be kept in a supervisor's file. If an employee shows the necessary improvement and completes the PIP successfully, a final formal memo should be issued to the employee's personnel file showing the employee successfully completed the PIP. If the employee fails to show improvement, the supervisor or manager should formally extend the PIP for an additional 3 to 6 months depending on the severity of the performance issue(s).

Note: Please see Human Resources/Academic Personnel Services (HR/APS) for additional assistance.



## Section 6

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### Evaluate Performance

#### Performance Evaluation Process

1. Gather all documentation you have regarding performance.
2. Identify and fill in the correct performance evaluation form (see Cal State bargaining unit forms and also available on the HSU HR/APS website)
3. Write the evaluation

To prepare for writing the performance evaluation, gather the following information:

- Input provided by the employee
- Employee Position Description
- Goals and objectives from the previous performance evaluation (if available)
- Expectations for performance
- Structured or unstructured notes of employee performance events

If appropriate, solicit information from others that know the employee's work such as a lead or Department Head. The primary rater should be someone who is familiar with the regular duties of the employee. Within the union environment the term "evaluator" refers to the appropriate administrator (MPP) or the person designated by the appropriate administrator to conduct the performance evaluation of an employee. Refer to the appropriate collective bargaining agreement for the employee (see Appendix A).

#### Evaluation Poor Performance

While performance evaluations are typically completed annually, there are other times when it is appropriate to meet with the employee about their job performance. Primarily, this is when an employee is exhibiting poor performance and feedback and/or counseling is needed. Feedback and counseling emphasizes a learning culture and also provides the under performer with an opportunity to address and correct unsatisfactory behavior. The CSUEU Contract for example, specifically says once per year so it is important that any additional "sessions" are not labeled as performance evaluations.

When completing the annual performance review, if an employee is receiving a rating of "not satisfactory" on a particular performance factor, it is important to insure that it is truly the performance of the employee that is causing the less than satisfactory results. Be sure to examine the job itself and the context in which the job is being performed. Contact the Human Resources Department if you need assistance in documenting "not satisfactory."

## Writing the Evaluation

Write supporting comments for performance factors using third person statements.

Example:

**Instead of:** You have increased your knowledge of fund accounting. **Write:** Steve has increased his knowledge of fund accounting.

Use behavioral feedback to support your ratings for performance factors.

- Focus on behaviors rather than judgments to support performance factor ratings.
- Use specific examples.
- Use specific facts.

Verifiable (Specific)	Evaluative (Fuzzy)
<b>Observable</b>	Judgments
<b>Measurable</b>	Assumptions
<b>Accessible to the senses</b>	Interpretations
<b>Actionable</b>	Non-actionable

Examples:

Fuzzy:	Steve, this was not your best work.
Specific:	The project was completed three weeks later than originally estimated. In addition, the report contained at least five errors, such as spelling and incorrect calculations.

Fuzzy:	You do a good job running meetings Jennifer.
Specific:	During our Unit meeting, you identified the areas in which we were confused about the new process, you summarized to help us stay on track, and you maintained your neutrality when people voiced their frustrations.

## Conducting the Performance Evaluation Meeting

Performance evaluations are most productive when they are collaborative, both people are prepared ahead of time and there have been discussions about performance throughout the year. The performance evaluation meeting should be a two-way conversation.

Procedural

- Collect documentation on performance
- Seek input on performance evaluation
- Draft performance evaluation
- Plan for performance evaluation meeting



## Setting the Tone

**Be prepared** – know the objectives and goals of the meeting.

**Time and place** – choose a quiet, private spot with limited interruptions.

Put the employee at ease by acknowledging that these sessions can cause anxiety but the purpose is to improve performance and to gather information on how you can participate in their development. Approach the employee you are evaluating as a partner rather than a judge. Tell the employee that the performance evaluation meeting is a two-way discussion, not one-way.

Maintain a positive intention. If an employee's overall performance is satisfactory, focus on the factors that led to that success. If an employee's overall performance is not satisfactory, focus on problem-solving and supporting improvement rather than fault finding.

## Structure of the Meeting (General)

\*\*The following information is based on best practices. For exact performance evaluation steps, please refer to the relevant collective bargaining agreement.

1. Explain the purpose for the meeting	To discuss the employee's performance over the past year, the job expectations and the organization's expectations.
2. Explain the process of the meeting	<ol style="list-style-type: none"><li>a. Review past performance<ul style="list-style-type: none"><li>• Allow employee to share how they view their performance over the past year</li><li>• Allow employee to share ideas they have for strengthening their performance</li><li>• Supervisor/Lead shares their evaluation</li><li>• Discuss difference and come to a common understanding</li></ul></li><li>b. Set performance expectations for the next evaluation period</li><li>c. Discuss developmental plans and activities that should be conducted during the next evaluation period.</li></ol>
3. Ask if the employee has any questions about how the meeting will proceed	
4. Allow the employee to share their assessment of their performance	<ol style="list-style-type: none"><li>a. Listen carefully to the employee's self-assessment</li><li>b. Focus the employee on specific behaviors, actions and results related to his/her performance</li></ol>
5. Share your evaluation and overall rating	<ol style="list-style-type: none"><li>a. Provide effective performance feedback</li><li>b. Focus on behaviors, actions, and results</li><li>c. Reinforce positive performance results</li><li>d. Direct critical performance feedback toward performance improvement</li></ol>



<p>6. Guide the discussion of similarities and differences in the performance evaluation</p>	<ul style="list-style-type: none"> <li>a. Show interest in what the employee has to contribute</li> <li>b. Ask questions to clarify and to gather information</li> <li>c. Focus the conversation on performance improvement</li> <li>d. Seek to understand why the employee chose the behaviors they selected</li> <li>e. Arrive at a common understanding on how you and the employee view their performance</li> <li>f. When disagreements occur, ask questions to uncover the underlying reasons for this difference of opinion</li> </ul>
<p>7. Receive feedback and suggestions from the employee</p>	<ul style="list-style-type: none"> <li>a. Focus on the performance issues reported, not the person or personality</li> <li>b. Carefully listen; take notes</li> <li>c. Acknowledge the employee's concern</li> <li>d. Welcome suggestions</li> <li>e. Remain open to feedback on your own behavior as a supervisor/lead</li> <li>f. Clarify any feedback that you receive from the employee on your own leadership</li> </ul>
<p>8. Set performance expectations for the next evaluation period</p>	
<p>9. Discuss development activities for the next evaluation period</p>	<p>Consider developing an Individual Learning Plan (ILP)</p>
<p>10. Close the meeting</p>	<ul style="list-style-type: none"> <li>a. Acknowledge your appreciation of the employee's efforts</li> <li>b. Review the performance expectations and developmental activities</li> <li>c. Clarify the roles that you and the employee take in regard to performance expectations and developmental activities and determine next steps</li> </ul>
<p>11. Allow the employee to make written comments on the draft evaluation. Insure they receive a copy of the completed evaluation</p>	<p>Refer to specific collective bargaining agreements regarding time frames for employee input/comments on the draft. There are time limitations for employees to provide input to be considered before the draft is finalized.</p>

## Eight Common Rating Problems

The performance evaluation rating process has some common pitfalls, including:

1. **Lack of Clarity and Agreement in Standards** - The Position Description and the performance criteria should be available and clearly understood by the evaluator and the staff member. Periodic review and discussion will overcome this issue.
2. **Insufficient Information** - It is nearly impossible to recall an entire year's worth of performance in several criteria for several staff members from memory alone. Recording significant and critical incidents of both a positive and negative nature will provide the information needed to communicate the rationale for the rating(s).
3. **Excessive Strictness or Leniency** - The tendency to be optimistic or pessimistic may influence the incidents documented and the emphasis placed on them. Some evaluators say that "no one is perfect" and deliver very tough, strict evaluations. Others fear offending staff members or feel that high ratings will motivate the staff member and are overly positive in the review. A wide variety of documented incidents across all the criteria should provide an excellent base for ratings that are specific for each criterion.
4. **Halo Effect** - It is easy to allow the stellar performance in one or more criteria to influence the ratings in the other criteria. Evaluators should review each criterion on its own merit and have documentation to support each rating, to avoid this rating error.
5. **Horns Effect** - The opposite of Halo Effect, where an evaluator allow poor performance in one or more criteria to influence the ratings in the other criteria.
6. **Central Tendency** - Playing it safe and giving everyone a middle of the road rating also does everyone a disservice. Careful reading and consistent application of the criteria language and comparison to documented behaviors will help in giving objective ratings.
7. **Similar to Me** - Evaluators may tend to give staff members who are perceived to be like them higher ratings than those who are not. Diversity factors come into play, such as age, sex, culture, and educational level. Evaluators should be aware of this possibility and focus on actual job performance and visible results.
8. **Recent Effect** - The performance evaluation rating should reflect the entire review period. A recent positive or negative event should not color the entire rating.

## Challenging Situations

If a staff member declines to sign the form, the evaluator should inform the staff member that their signature does not indicate agreement with the content of the performance evaluation. Their signature only indicated they received the performance evaluation. If the staff member still refuses to sign, the evaluator should indicate this to be the case in the section designated for the staff member's signature by writing "Staff member reviewed the performance evaluation and refused to sign". This statement should be initialed and dated by the evaluator.



By soliciting staff member input before the performance evaluation is developed, the evaluator can mitigate the possibility that the staff member will provide additional performance information during the discussion that suggest the performance evaluation ratings should be modified. However, the potential for this situation to occur always exists.

In this situation it is important to determine whether or not the information provided by the staff member does indeed require any of the performance evaluation ratings be changed. This is best done after listening to the staff member and fully considering their input. If necessary, the evaluator should take additional time to consider the new information provided. The staff member should not sign the performance evaluation document while the evaluator reviews the new information and makes a determination regarding whether or not to change a rating. The evaluator may want to consult with HR/APS if they determine changing a performance evaluation rating is appropriate before making the change or discussing their intent to do so with the staff member.

If a staff member strongly disagrees with the evaluation ratings, but offers no compelling, specific, or new information that supports changes to the evaluation ratings, the evaluator should remain calm and focus on the documented evidence that resulted in the ratings given. The evaluator should offer specific examples of the staff member's performance that illustrate that the rating given is consistent with the appropriate performance evaluation language written on the form. If the evaluator and the staff member continue to disagree and the discussion becomes heated or non-productive, the evaluator should suggest they take a break and get together again within the next few days.

All of the collective bargaining agreements that provide for staff performance evaluations also include provisions for a staff member to submit a rebuttal to the evaluation. When the staff member writes a rebuttal to a performance evaluation, a copy should be forwarded to HR/APS for inclusion in the personnel file.

## Performance Evaluations Summary

A well written performance evaluation clearly communicates performance standards and expectations to the staff member.

A well written performance evaluation does the following:

- Functions as a written framework for recognizing good performance and providing constructive guidance for future achievements.
- Documents what the staff member has accomplished and provides tangible examples of how performance could be improved.
- Reflects how the staff member has contributed to the accomplishment of personal and organizational goals.

Although evaluations should address performance as it occurs, there are established intervals in which written evaluations must be prepared and delivered.

1. **Permanent staff members** - Receive one performance evaluation annually.
2. **Temporary Fiscal Year Renewal and Long Term Temporary staff members** - Receive a minimum of one performance evaluation annually.
3. **Probationary staff members** - There are a variety of collective bargaining requirements regarding the frequency of performance evaluations for probationary staff members. Referencing the appropriate collective bargaining agreement or contacting HR/APS will provide specifics regarding these requirements. When there is no language in the agreement regarding the frequency of probationary performance evaluations, the campus practice is to conduct at least one evaluation during the probationary period.



## Section 7

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### Recognize Successful Performance

#### What is performance?

Performance = Ability x Motivation

- Ability is the person's talents, skills, or proficiencies in a particular area, as well as the training and resources supplied by the organization
- Motivation is the product of desire and commitment

#### Enhancing Ability

There are five main ways to overcome performance problems associated with a lack of ability. Consider using them in this sequence, which starts with the least intrusive:

1. Resupply – Provide resources needed to do the job
2. Retrain – Provide training or develop skills to do the job
3. Refit – Reassign job tasks
4. Reassign – Reassign employee to a position that fits their abilities
5. Release – Review options with HR/APS Department

#### Providing a Motivating Environment

One of the biggest performance challenges you will encounter is when an employee has the ability to perform the job well, standards and goals are clear, but their motivation is low. In these situations you should begin by helping the employee recognize and understand the negative consequences of their behavior.

A lack of motivation could be caused by a number of problems including personal, family, and financial issues. You are not responsible for helping employees solve these issues, but you can refer them to resources such as the Employee Assistance Program to get help.

Your team is made up of individuals who have their own unique circumstances, backgrounds, and experiences. Each person may be driven by different motivating factors, be more or less adept at self-motivation, and require individualized support to tap into what motivates them to perform.

## Section 8

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### Links to Current Collective Bargaining Agreements

- [Unit 1 \(Union of American Physicians and Dentists - UAPD\)](#)
- [Unit 2, 5, 7 and 9 \(California State University Employees Union - CSUEU\)](#)
- [Unit 3 \(California Faculty Association - CFA\)](#)
- [Unit 4 \(Academic Professionals of California - APC\)](#)
- [Unit 6 \(State Employees Trades Council - SETC\)](#)
- [Unit 8 \(Statewide University Police Association - SUPA\)](#)
  - [MOU, amended Articles 5.2 and 5.10](#)
- [Unit 10 \(International Union of Operating Engineers\)](#)
- [Unit 11 \(UAW - Academic Student Employees\)](#)
- [Unit 13 \(CSUEU – English Language Program Instructors, CSU Los Angeles\)](#)

\* The above hyperlinks take you to current collective bargaining agreements located on The California State University Systemwide Human Resources website.



## Section 9

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### Appendix A

#### Collective Bargaining Agreements (Performance Evaluation Criteria)

Unit 1 (Union of American Physicians and Dentists - UAPD)

Unit 2, 5, 7 and 9 (California State University Employees Union - CSUEU)

Unit 3 (California Faculty Association - CFA)

Unit 4 (Academic Professionals of California - APC)

Unit 6 (State Employees Trades Council - SETC)

Unit 8 (Statewide University Police Association - SUPA)

Unit 10 (International Union of Operating Engineers)

Unit 11 (UAW - Academic Student Employees)

Unit 13 (CSUEU – English Language Program Instructors, CSU Los Angeles)

Unit 1 (Union of American Physicians and Dentists - UAPD)

ARTICLE 13

EVALUATION

***Temporary and Probationary***

- 13.1 Temporary and probationary employees in Bargaining Unit 1 shall be subject to periodic performance evaluations as determined by the President. The frequency of probationary employee evaluations shall be sufficient to make timely recommendation to the President prior to the end of the employee's probationary period.
- 13.2 A written record of the periodic performance evaluation shall be placed in the employee's personnel file. The employee shall be provided with a copy of the written record of the performance evaluation.

***Permanent Employees***

- 13.3 Permanent employees in Bargaining Unit 1 shall be subject to periodic performance evaluations as determined by the President.
- 13.4 A written record of the periodic performance evaluation shall be placed in the employee's personnel file. The employee shall be provided with a copy of the written record of the performance evaluation.

***Evaluation of Physicians***

- 13.5 When evaluation entails judgment regarding a physician's performance of assigned medical duties, such judgment shall be made by supervisory and managerial personnel who are licensed physicians.

***General Provisions***

- 13.6 Evaluations should be a review of the employee's work performance and should be based upon criteria which is objective in nature.
- 13.7 If an employee disagrees with the record of a performance evaluation which has been placed in his/her personnel file, the employee may submit a rebuttal statement which shall be attached to the record of the performance evaluation.
- 13.8 The content of performance evaluations shall not be subject to the provisions of Article 8, Grievance Procedure.

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CSU/UAPD Collective Bargaining Agreement

January 28, 2015 – June 30, 2017



Unit 2, 5, 7 and 9 (California State University Employees Union - CSUEU)

ARTICLE 10

EMPLOYEE PERFORMANCE

- 10.1 Permanent employees shall be subject to an annual performance evaluation.
- 10.2 A probationary employee shall be evaluated by the end of the third (3rd), sixth (6th), and eleventh (11th) month of the probationary period, unless the employee has earlier been rejected during probation.
- 10.3 A temporary employee shall be evaluated at periodic intervals.
- 10.4 Absence of a performance evaluation will not constitute a reason for denying an MSI.
- 10.5 A performance evaluation should be a review of the employee's performance and should be based upon job-related criteria. Employee performance evaluations are for the purpose of evaluating individual employee performance and for providing guidance for performance development and improvement. Employee evaluations should acknowledge changes affecting the employee's position, including workload, which have occurred since the last evaluation.
- 10.6 The performance evaluation of an individual with an overall performance evaluation rating of below satisfactory shall include specific information regarding the areas of concern. It is a recommended practice that the appropriate administrator counsel an employee on below satisfactory performance before it is documented in a Performance Evaluation. The substantive content and overall evaluation rating are not subject to Article 7, Grievance Procedure.
- 10.7 A written record of a performance evaluation shall be placed in the employee's personnel file. The employee shall be provided with a copy of the written record of the performance evaluation prior to its placement in the personnel file. Regardless of the overall performance evaluation rating scale, or other terms that a campus may use to evaluate overall performance, the campus shall use the term "satisfactory" to indicate an acceptable level of performance.
- 10.8 The evaluator shall submit a draft evaluation for the employee's review, input, and discussion. Upon request, the evaluator shall provide the employee with a copy of his/her position description that is in the employee's personnel file, as outlined in Article 17.2.
- 10.9 The employee shall be given up to five (5) work days to review the draft evaluation and provide input, if any, to the evaluator. The employee may request up to an additional five (5) work days to review the draft evaluation and provide input; such a request shall not be unreasonably denied.
- 10.10 The evaluator shall consider the input provided pursuant to provision 10.9 above in preparing the final performance evaluation, and prior to placing it in the employee's personnel file.

- 10.11 Upon request of the employee or the evaluator, the evaluator and the employee shall meet to discuss the evaluation. Such a meeting shall take place within seven (7) work days of the request.
- 10.12 Upon request of the employee and subsequent to the meeting between the employee and the evaluator, the appropriate administrator, the evaluator, the employee, and the employee's representative, if any, shall meet to discuss the evaluation. Such a meeting shall take place within fourteen (14) work days of the request at a mutually agreeable time and location.
- 10.13 If an employee disagrees with the record of a performance evaluation which has been placed in his/her personnel file, the employee may submit a rebuttal statement which shall be attached to the performance evaluation. The evaluation shall be reconsidered by the appropriate administrator in light of the rebuttal statement and if the evaluation is amended, the amended evaluation shall replace the original evaluation and its rebuttal.
- 10.14 The term "evaluator" as used in this Article refers to the appropriate administrator or the person designated by the appropriate administrator to conduct the performance evaluation of an employee. The evaluator shall be familiar with the regular duties of the employee.
- 10.15 Performance evaluations shall not be subject to Article 7, Grievance Procedure, unless the grievant alleges the terms of this Agreement have been violated, misinterpreted, or misapplied.
- 10.16 No later than March 2, 2015, the CSU and the Union shall meet to explore the feasibility of a uniform systemwide evaluation form to be used to evaluate all CSUEU represented employees.

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CSUEU/CSU Collective Bargaining Agreement

November 12, 2014 - June 30, 2017



## Unit 4 (Academic Professionals of California - APC)

### ARTICLE 18

#### EVALUATION

- 18.1 The appropriate administrator shall inform the employee in writing that a performance evaluation shall take place prior to the commencement of the performance evaluation process. Performance evaluation procedures shall be determined by the President. Such procedures shall be put in writing and provided to employees. Any evaluative procedure to be used in a department shall also be provided to an employee prior to the commencement of the performance evaluation process.
- A. Employees shall be evaluated on at least an annual basis, using the form that appears in Appendix L, utilizing the following criteria:
1. quality of the employee's work;
  2. quantity of the employee's work;
  3. professional judgment and responsibility (also including attendance abuse and working relationships); and
  4. specific contributions to the campus/CSU and/or specific contributions to the community in areas directly related to the employee's work assignment, if applicable.
- B. Performance evaluations shall be based on the direct observation or supervision of the employee's work during the period since the employee's last performance evaluation. In the event the evaluator has not directly observed or supervised the employee's work, the evaluation shall be based primarily on the content of the employee's official personnel file, including the applicable position description(s) and input from individuals who have interacted with the employee as part of the employee's required job duties. If the employee receives any rating of less than satisfactory (or its equivalent), the document(s) and/or specific example(s) relied upon for the rating must be given to the employee and placed in the employee's official personnel file no later than the time at which the evaluation is given to the employee in draft form.
- C. Performance evaluations shall be prepared in draft form. Such evaluation shall refer to key incidents relied on if they are not documented in the personnel file. A copy will be given to the employee who shall have fourteen (14) days to submit a rebuttal (if any) to the evaluator before the evaluation is finalized. An employee may elect to submit any such rebuttal (accompanied by the draft evaluation it rebuts) to his/her personnel file. Any documents referenced in the draft evaluation which 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 file at that time.

- D. An employee may submit materials for consideration during the performance evaluation process, including evaluative material from campus and community sources generated by individuals familiar with the employee's work.
- 18.2 A written record of a final performance evaluation shall be placed in the employee's personnel file and subject to the provisions of Article 11, Personnel File. The employee shall be provided with a copy of the written recommendation, if any, made at each level of the review.
- 18.3 If an employee disagrees with the record of a final performance evaluation which has been placed in his/her personnel file, the employee may submit a rebuttal statement which shall be attached to the record of the performance evaluation.
- 18.4 A performance evaluation shall not be considered a final personnel decision as referred to in Article 11.
- 18.5 All final decisions regarding permanency shall be made by the President.
- 18.6 A performance evaluation for the purpose of retention or permanency shall consist, at a minimum, of an administrative review. A performance evaluation may include a peer review component. If such a component is included then service on such a peer review committee shall be subject to provision 18.5, and such a committee shall consist of only permanent employees.

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CSU/APC Collective Bargaining Agreement

November 13, 2012 – June 30, 2015



## Unit 6 (State Employees Trades Council - SETC)

### ARTICLE 12

#### EVALUATION

12.1 Employees shall be subject to periodic performance evaluations. Employee performance evaluations are for the purpose of evaluating individual employee performance and for providing guidance for performance development and improvements.

An employee and the appropriate administrator, upon the request of either, also may meet informally to discuss any concerns either may have regarding the employee's performance. Such meetings are not considered performance evaluations and therefore are not subject to the provisions of this Article.

12.2 Evaluations should be a review of the employee's performance, written by a non-bargaining unit evaluator, and based upon job-related criteria, including input from the employee and the employee's bargaining unit Supervisor where appropriate.

12.3 Performance evaluations shall be in writing and shall be placed in the employee's personnel file. The employee shall be provided with a copy of the official performance evaluation which is to be placed in his/her personnel file prior to such placement.

12.4 A permanent employee shall be evaluated at least annually.

12.5 A probationary employee shall be evaluated within two (2) weeks of having completed the sixth (6<sup>th</sup>) and eleventh (11<sup>th</sup>) month of the probationary period.

12.6 A temporary employee shall be evaluated at least once every appointment period, but not less than once per year.

12.7 Evaluations shall be signed by the evaluator and the employee. The employee's signature indicates that the employee has reviewed the evaluation with the evaluator, but does not necessarily indicate agreement with the content of the evaluation.

12.8 The employee shall be given the opportunity to discuss the evaluation in a meeting with the appropriate administrator. Such a meeting shall take place at a mutually acceptable time and location.

The performance evaluation of an individual with an overall performance rating of below satisfactory shall provide an explanation for the rating.

12.9 If an employee disagrees with the written performance evaluation, the employee may submit a rebuttal statement which shall be attached to the written performance evaluation and placed in the personnel file. The employee may also request a second meeting with a union representative present to further discuss the evaluation. Such a meeting shall take place at a mutually acceptable time and location.

12.10 The term "evaluator" as used in this Article refers to the non-bargaining unit person designated by the appropriate administrator to conduct the performance evaluation of an employee.

12.11 The content of performance evaluations shall not be subject to the provisions of Article 9, Grievance Procedure.

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SETC-United/CSU CBA

September 19, 2012 - June 30, 2015



## Unit 8 (Statewide University Police Association - SUPA)

### ARTICLE 29

#### PERFORMANCE EVALUATION

- 29.1 Permanent employees shall be subject to and receive annual performance evaluations. The evaluations must be given annually in accordance with campus procedures and timelines.
- 29.2 A sergeant or the immediate supervisor may draft and sign the performance evaluation. A sworn MPP (employee in the Management Personnel Plan) shall review the performance evaluation as the approving authority prior to the performance evaluation being presented to the employee. At the completion of the evaluation discussions with the employee, a sworn MPP shall sign the performance evaluation. If the sworn MPP is the immediate supervisor, then a non-sworn MPP shall review and sign the performance evaluation.
- 29.3 A written record of the performance evaluation shall be placed in the employee's personnel file. The employee shall be provided with a copy of the written performance evaluation.
- 29.4 If an employee disagrees with the performance evaluation, the employee may submit a rebuttal statement within a maximum of thirty (30) days of receipt of the evaluation. The rebuttal statement shall be attached to the performance evaluation in the employee's personnel file. Within a maximum of twenty one (21) days of receipt of the rebuttal statement, the Chief of Police shall review the performance evaluation and rebuttal statement. If this review results in revisions to the performance evaluation, the employee shall be provided with a copy of the revised performance evaluation for signature and inclusion in the employee's personnel file. The original performance evaluation and rebuttal statement shall be removed from the employee's personnel file. If the review does not result in revisions to the performance evaluation, the Chief of Police shall inform the employee in writing and include this notification in the employee's personnel file.
- 29.5 The content of performance evaluations shall not be subject to the provisions of Article 7, Grievance Procedure.

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CSU/SUPA Collective Bargaining Agreement

March 24, 2015 – June 30, 2018

## Unit 10 (International Union of Operating Engineers)

### ARTICLE 19

#### EVALUATION

- 19.1 Employees shall be subject to periodic performance evaluations. Performance evaluations shall address work performance throughout the specified rating periods. Evaluations may include input from the employee and the employee's bargaining unit supervisor where appropriate.
- 19.2 Performance evaluations shall be in writing and shall be placed in the employee's personnel file. The employee shall be provided with a copy of the official performance evaluation, which is to be placed in his/her personnel file prior to such placement.
- 19.3 A permanent employee shall be evaluated annually on the prior fiscal years' service.
- 19.4 A probationary employee shall be evaluated periodically but not to exceed four (4) times during his/her probationary period.
- 19.5 A temporary employee shall be evaluated periodically.
- 19.6 Evaluations shall be signed by the evaluator and the employee.
- 19.7 The employee shall be given the opportunity to discuss the evaluation in a meeting with the appropriate administrator. Such a meeting shall take place at a mutually acceptable time and location.
- 19.8 If an employee disagrees with the written performance evaluation, the employee may submit a rebuttal statement, which shall be attached to the written performance evaluation and placed in the personnel file. The employee may also request a second meeting with a union representative present to further discuss the evaluation. Such a meeting shall take place at a mutually acceptable time and location.
- 19.9 The term "evaluator" as used in this Article refers to the non- bargaining unit employee designated by the appropriate administrator to conduct the performance evaluation of an employee.
- 19.10 The content of performance evaluations shall not be subject to the provisions of Article 9, Grievance Procedure. However, a performance evaluation which results in an overall rating of Unacceptable or Needs Improvement may be grieved under Article 9, Grievance Procedure only through Level II of the Grievance Procedure.

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CSU/IUOE Collective Bargaining Agreement

July 1, 2014 – June 30, 2017



## Unit 11 (UAW - Academic Student Employees)

### ARTICLE 8

#### EMPLOYMENT EVALUATION

- 8.1 "Employment Evaluation" is a faculty member's or supervisor's written assessment of a bargaining unit employees' employment performance.
- 8.2 If an employment evaluation is to take place, the employing department or hiring unit shall communicate, in writing, evaluation criteria, schedule and procedures for written employment evaluations, to employees or upon request to the Union within the first fourteen (14) days of the appointment period.
- 8.3 There shall be no changes in criteria and procedures used to evaluate the bargaining unit employee during the appointment period, unless there is a change in the assignment of the bargaining unit employee in which case notice of new criteria, schedule and procedures for written employment evaluations shall be provided in accordance with provision 8.2, above.
- 8.4 An ASE shall be given a draft evaluation at least five (5) days prior to placement in the personnel file. Upon request, an ASE shall be provided the opportunity to meet with an appropriate administrator to discuss the draft evaluation. The request to meet, if any, shall be made within five (5) days of receipt of the draft evaluation. If a meeting is requested, it shall take place within ten (10) days of the request by the ASE. Following the meeting, the administrator shall consider all information provided by the ASE concerning the relevancy and accuracy of the employment evaluation prior to making a final decision to place the final evaluation in the file. An ASE shall be given a copy of the final evaluation within five (5) days after placement in the personnel file.
- 8.5 If a bargaining unit employee disagrees with the content of the final evaluation, within fourteen (14) days of receipt of the evaluation, the bargaining unit employee may submit a rebuttal statement that the University shall attach to the employment evaluation.

- 8.6 The content of an employment evaluation of a bargaining unit employee shall not be subject to the grievance procedure, but the procedural requirements of the provisions of this article shall be subject to the grievance procedure.
- 8.7 If the bargaining unit employee is alleging that the content of an evaluation constitutes a violation of Article 16, Non-Discrimination, then the bargaining unit employee may contest the content of the evaluation subject to the requirements of Article 16, Non-Discrimination. If the bargaining unit employee is alleging that the content of an evaluation constitutes a violation of Article 10, Grievance Procedure, then the bargaining unit employee may contest the content of the evaluation subject to the requirements of Article 10, Grievance Procedure.

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UAW/CSU Collective Bargaining Agreement

November 6, 2013 – September 30, 2016



Appendix B  
Individual Learning Plan (ILP) Template

Developmental goal:

Plan should be completed for individual goals.

Action Plan	
<b>Action</b> <i>What actions will take place to help you meet your goal?</i>	
<b>Potential Obstacles</b> <i>What might get in your way of meeting your goal?</i>	
<b>Support/Resources</b> <i>What support or resources do you need to successfully take action and reach my goal?</i>	
<b>Progress Measurements</b> <i>How will you know you have been successful?</i>	
<b>Check Points</b> <i>When will you check-in to make sure you are on track to meeting your goal?</i>	
<b>Progress/Results</b> <i>What progress have you made toward achieving my goal?</i>	

## Learning Experiences

All too often, people believe that a formal training course is the answer and the only means by which they can develop and refine skills for success. Although formal training programs can provide considerable value when designed and facilitated properly, the reality is that there are many other methods for fostering adult skill development.

### Example Learning Experiences

- Present a report to management
- Attend internal training workshops
- Participate on a committee or project team
- Troubleshoot a problem that would typically be escalated to others
- Attend another department's meeting
- Participate on a hiring panel
- Mentor someone
- Job shadow someone for a day
- Pursue a degree or professional certification
- Meet with someone who is particularly good at something and interview them on their skills
- Participate in a 360-feedback process
- Participate in a career planning or job enrichment discussion with your boss or a trusted advisor
- Use your boss or someone at a higher level as a mentor for a specific skill or set of skills
- Attend seminars and conferences
- Attend a presentation about a different team or process
- Design and deliver a course or presentation
- Participate in a benchmarking study
- Pursue a career development assignment
- Launch a change (e.g. process, procedure, policy, etc.)
- Run or chair a meeting
- Attend external training workshops
- Lead or participate in a focus group
- Supervise a co-op student
- Read a book or article
- Become active in a professional organization
- Ask someone for feedback
- Interview a senior person in the organization about their experiences and lessons learned
- Help your boss prepare for a presentation or address a work-related problem
- Participate in peer discussion group

