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Program Handbook
for Management/Professional



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Purpose

The purpose of the State University Performance Evaluation and Recognition program is to:

- ▶ Facilitate joint planning between employee and supervisor on what the employee is expected to accomplish.
- ▶ Establish clear, achievable, measurable, flexible, results-oriented performance objectives, consistent with the agency's priorities and mission, and considered fair by both the employee and the supervisor.
- ▶ Promote ongoing communication between the employee and the supervisor concerning expectations, how well the employee is meeting these expectations, and what steps must be taken to ensure that expectations are met.
- ▶ Guide regular evaluations of progress and promotion of the employee's professional development. Identify corrective action needed when an employee has not accomplished a performance objective.
- ▶ Provide a basis for differentiating among levels of performance and thus serve as a basis for employee's salary adjustment.
- ▶ Improve individual job performance and thereby increase the effectiveness of the agency.
- ▶ Create and maintain a climate of professionalism.

These actions should encourage job satisfaction through promoting a sense of common mission and recognition of the individual's contribution to it.

Eligibility

The SUPER program is designed for CSU System Office unclassified Management / Confidential, Administrative Faculty, and classified Administrative Clerical. While there are three different evaluation forms, this program has been designed to be used for all employees of the CSU System Office. Therefore, the spirit and values of the program should be applied in rating all employees.

Agency Mission

Employee performance goals should interface with those of other employees to form the agency's mission. To facilitate this, CSU Chancellor and/or executive teams should review the agency mission statement and communicate to employees any new or revised directions for the agency at the beginning of the process, at the start of each fiscal year. Basic organizational functions will vary little from year to year. Other innovations, improvements and projects will be one-time objectives. This top-down approach enables the agency head to convey priorities to managers at the beginning of the yearly planning process.

Articulation

The Connecticut State University System Office human resources management policy emphasizes the importance of performance communication to productive and satisfying employment. Fundamental to employee performance is the clear articulation of the goals and objectives of the organization. The value of employee performance to the CSU System Office can

only be assessed in the context of the organizational goals and objectives.

For this reason, the System Office goals and objectives will be regularly and clearly articulated through the following means:

- ▶ General staff meetings
- ▶ Departmental staff meetings
- ▶ Training
- ▶ Dissemination of materials to all staff
- ▶ Articles in Visions & Vistas and other CSU publications

Performance communication is the process through which a supervisor communicates with an employee about the purpose and components of his/her job, so that the employee can obtain the desired job results. Performance communication consists of: clear communication of job responsibilities and expectations; ongoing

feedback and guidance about performance; a summary performance appraisal discussion, highlighting achievements and any areas of needed improvement; and, as necessary, a development plan and restatement of job responsibilities and expectations.

Goals · Objectives · Action

Employee performance goals should interface with those of other employees to form CSU's mission. To facilitate this, the Chancellor and/or executive teams should review the agency mission statement and communicate to employees any new or revised directions for the agency at the beginning of the process. Basic organizational functions will vary little from year to year. Other innovations, improvements and projects will be one-time objectives. This top-down approach enables the agency head to convey priorities to managers at the beginning of the yearly planning process.

The setting of goals and objectives requires a framework. That framework is achieved by planning, that is, priorities are turned into goals and objectives and deadlines are set to achieve those goals. Priorities as discussed by employees and supervisors at staff meetings normally lack a major ingredient: commitment. Turning priorities into reality requires a well-defined plan. Therefore, the first step is turning a loosely-defined priority into a well-defined goal. The goal defines what you want to accomplish.

The next step is to divide the goal into the objectives needed to achieve the goal. Objectives are the “how” goals will be accomplished, or the blueprints for achieving the goal. Those who are to work on the goals should be involved in conceiving and developing the objectives.

There must be a clear meeting of the minds between employee and rating supervisor in setting and updating goals. The goal and each objective must have well-defined and agreed upon deadlines. Lack of deadlines is

the primary reason why projects fail. Deadline dates need to be clearly stated. Goals must remain flexible to adjust to ever-changing needs.

The employee and supervisor shall inform Human Resources via electronic mail that goals for the year have been set. In addition, the employee may, at any time during the year, inform Human Resources that the SUPER is not being followed and Human Resources shall bring it to the attention of the department head or where appropriate, to the Chancellor.

Once the plan is established, action can begin. The acronym **ACTION** describes action goals:

A

Action goals **A**re measurable – One should be able to measure a goal statistically to determine progress. If you can’t quantify it, it probably is not a goal.

C

They are **C**ompatible with the goals of the organization. If they are not, the goals being set could be unimportant and low in impact and payoff.

T

Goals are **T**ime specific. All goals should have a start and finish time. Lack of deadlines is a primary reason why goal-setting fails. Communication about deadlines is often unclear. A deadline of “as soon as possible” means different things to different people. Always clarify deadlines.

I

Goals must be **I**n writing. When goals are written down, all can visualize the end result they are working toward. Goals not written down can be visualized differently and create a point of confusion at the time of the rating.

O

Take **O**wnership for the goal. Ownership relates to commitment and accountability. Employees are more likely to follow through on goals if they have a part in setting them. If you are given a list of goals that are not yours and to which you have no opportunity for input, you are unlikely to be enthused or excited about accomplishing them.

N

It may be necessary to **N**egotiate for resources. Ask for what you need to be successful. The goals may be the greatest, but they cannot be accomplished without resources. Learn to negotiate for what you need to carry out the plan.

Effective planning involves setting meaningful goals and developing a plan or blueprint of objectives. Deadlines help give commitment to your plans. Time spent planning can yield valuable dividends.

Performance Evaluation Input

If employees are expected to be effective performers, then they must perceive that they will be recognized for the quality of their work in addition to their contributions to the goals of the organization. The source of input upon which employee evaluations are based is among the most important considerations for a credible, fair and effective performance evaluation system.

Supervisors have limited opportunities to judge and evaluate employees' performance. In most cases a supervisor only observes the employee in the

performance of duties for brief periods and has no concrete way to evaluate employee productivity. Often, there is no way for a supervisor to know whether an employee is an effective performer in all interactions.

The performance portfolio represents a way for the supervisor and employee to reach a mutual understanding of the major sources of input that will be considered in evaluating employee performance. The portfolio should include a collection of the employee's achievements throughout the rating period.

Performance Portfolio

The performance portfolio is a means of describing the employee's strengths and achievements. A reflection of the employee's annual performance, it should include documents and materials that illustrate the quality and breadth of the employee's work performance. The performance portfolio should be planned by the employee and supervisor.

Each employee portfolio should include: (1) a written statement of the employee's objectives for the year and (2) evidence of communication opportunities between the employee and supervisor. Additionally, the employee and supervisor should select from the following evaluation input tools:

- ▶ Annual Report — a brief summary of the employee's accomplishments, etc., during the past year (i.e. a "State of the Employee" message). Suggested length: 1-3 pages.
- ▶ Summary of Special Projects — a brief overview of key projects completed by the employee, including those which furthered the goals of the CSU system. Suggested length: 1-3 pages.
- ▶ Input from internal and external customers — pre-designed form, narrative or letters from a variety of sources such as, but not limited to, campus personnel/counterparts, peers, employees directly supervised by the ratee, and vendors. Suggested volume: 2-5 documents.
- ▶ Work/Writing Samples — Suggested volume: maximum of 6 documents.
- ▶ Employee Self-evaluation — a self-assessment using the same evaluation tool utilized by his/her supervisor.
- ▶ Employee Log/Status Report
- ▶ Skills Mastery — a brief summary of new skill(s) developed during the past year (e.g. software proficiency). Suggested length: 1-3 pages.
- ▶ Professional development activities — a brief discussion of relevant activities. Suggested length: 1-3 pages.
- ▶ Other materials mutually agreed upon by the supervisor and the employee.

Clearly, issues such as maximum length of the portfolio, as well as the type of material to be included, must also be mutually agreed upon by the supervisor and the employee.

Evaluation Categories and Standards

Performance evaluation is a supervisory tool used to acknowledge an employee's achievements and to improve or maintain performance in the employee's present job. It is a systematic approach in which a verbal and written review of past performance is made, and plans are developed to improve and support future performance in the job.

The performance evaluation is an opportunity for clear communication about overall job expectations. In addition, the evaluation process enhances the working relationship between the supervisor and the employee because it provides an opportunity for both to discuss their expectations and plans for the employee's performance, thus enhancing job motivation. This program requires communication between the employee and supervisor at least two times during the rating period in addition to the discussion over the final rating.

This program is designed to measure an employee's performance against the standards and requirements applicable to his/her job and to help the employee to develop to full potential.

For Management/Confidential and Administrative Faculty employees, the program contains five categories of administrative skills objectives and the applicable rating scale. The Administrative Skills Objectives within each category should be viewed as a broad definition of the category and should not be treated as a "check list." There is a prescribed evaluation form for Administrative Clerical employees. The form contains seven Job Elements to be rated as well as the applicable rating scale. Both the job elements and the rating scale are defined in the evaluation form.

The application of the Administrative Skills Objectives vary for Management /Confidential, Administrative Faculty and Administrative Clerical employees. The Administrative Skills Objectives for Management / Confidential employees consist of five (5) categories, each with five (5) ratings. The categories and ratings are:

Categories

- ▶ Knowledge and Skills
- ▶ Interpersonal Relations
- ▶ Personal Investment
- ▶ Professional Achievement
- ▶ Promise of Continued Professional Growth

Ratings

- ▶ Excellent
- ▶ Consistently Exceeds Expectation
- ▶ Meets Job Specification
- ▶ Needs Improvement
- ▶ Unsatisfactory

Administrative Skills Objectives

> > Knowledge and Skills < <

Skills

- ▶ Has working knowledge applicable to the position
- ▶ Plans and organizes effectively
- ▶ Understands and implements agency/department goals, policies, procedures
- ▶ Independently resolves routine issues as they arise
- ▶ Thinks ahead, to foresee problems and seeks solutions for them; predicts potential crises and effectively resolves issues
- ▶ Takes on progressively more complex tasks
- ▶ Meets deadlines, follows through on assignments and brings projects to closure even where clear deadlines are not defined
- ▶ Is service oriented and willing to apply expertise to meet needs of others
- ▶ Handles competing priorities and acts proactively
- ▶ Maintains consistent quality of work even in stressful situations
- ▶ Is creative in approach to tasks at hand and encourages creativity in others

Additional Skills for Supervisors:

- ▶ Assigns work fairly and appropriately to subordinates
- ▶ Creates a positive work environment and supports and encourages employees
- ▶ Maintains high standards of quality and accurately estimates the resources needed to complete projects/meet departmental goals
- ▶ Provides assistance as needed to complete tasks while encouraging employees to develop new skills and competencies
- ▶ Avoids micro-managing
- ▶ Sets clear priorities that relate to attainable departmental goals
- ▶ Effectively manages conflict and is open to considering options developed by employees when solving problems
- ▶ Makes every good-faith effort to evaluate employees fairly and consistent with the purpose and rating standards of the SUPER



Ratings: Knowledge and Skills

Excellent

Is considered a role model for being creative, open to new ideas and able to accomplish the task at hand with skill in a timely manner. Is relied on by others as a resource for problem solving, almost always defines right problems and frequently develops novel solutions. Renders clear and appropriate decisions, is viewed by most as being collaborative in approach and is consistently able to anticipate events and handle them appropriately. Is productive and manages available resources appropriately.

Additional for supervisors:

Develops subordinates in a highly effective manner, consistently gives clear instructions and sets realistic expectations and goals for the department and each employee, maintains the highest standards for quality of work while providing or advocating for the provision of necessary resources to accomplish department work; confronts conflict and considers all views/ideas while problem solving.

Consistently Exceeds Expectations

Has fresh approach to problem solving and encourages it in others, consistently defines right problems and develops effective solutions, can implement effectively without direction, is participatory, collaborative and renders timely and thoughtful decisions. Frequently takes necessary independent action. Sets meaningful goals and objectives, plans well and organizes resources appropriately.

Additional for supervisors:

Develops most subordinates in a highly effective fashion, seeks to give clear instructions and sets realistic expectations and goals for the department and most employees, maintains high standards for work and strives to provide necessary resources, confronts conflict and objectively considers options when problem solving.

Meets Job Specifications

Is open to new approaches from others, usually identifies problems and occasionally develops solutions, usually suggests appropriate course of action and can implement with limited direction. Sets goals and objectives and manage resources effectively. Able to take independent action.

Additional for supervisors:

Generally assists employees in their development, generally gives clear instructions and sets expectations and goals for the department and many employees, has generally high standards for work and understands the need to provide adequate resources, confronts conflict where necessary and often considers options when problem solving.

Needs Improvement

Passively resists new approaches to solve problems, can solve problems but with great difficulty and has difficulty accepting events or changes. Generally takes action only with specific direction and often in an autocratic fashion. Is inconsistent in planning and goal setting or sets unrealistic goals and objectives. Rarely uses resources effectively. Often does not meet expectations.

Additional for supervisors:

Does not actively develop or delegate to subordinates, rarely gives instruction or gives unclear instruction, sets minimal standards for work and rarely provides or understands the need to provide adequate resources, resists conflict and is overly procedural/rigid in problem solving.

Unsatisfactory

Unsatisfactory — Actively resists any new approach to solve problems, usually fails to define a problem adequately or find its solution and frequently fails to make a decision or seek direction. Requires constant direction. Does not plan effectively and/or does not organize resources effectively. Usually does not meet expectations.

Additional for supervisors:

Does not develop or promote employees, gives unclear, wrong or no instructions, sets low standards for work and fails to provide adequate resources, does not address conflict.

> > Interpersonal Relationships < <

Skills

- ▶ Communicates openly, honestly and effectively both orally and in writing
- ▶ Works with all levels of personnel as well as with conflicting personalities
- ▶ Maintains emotional control and is able to adjust style as appropriate
- ▶ Acts fairly and gives constructive feedback
- ▶ Promotes two way exchanges of information
- ▶ Listens to others and encourages the expression of different viewpoints
- ▶ Is effective in getting ideas accepted and in guiding a group or individual toward task accomplishment/Is a leader
- ▶ Fosters a team approach to problem solving
- ▶ Seeks the input and assessment of customers/stakeholders
- ▶ Respects the dignity of colleagues
- ▶ Respects the diverse backgrounds of colleagues

Additional Skills for Supervisors:

- ▶ Deals fairly with subordinates
- ▶ Acknowledges work, gives feedback and shows recognition when appropriate
- ▶ Provides equal opportunities for all employees
- ▶ Regularly ensures the constructive exchange of information between department members
- ▶ Accepts criticism well from department members and encourages them to share their concerns
- ▶ Understands when to take control of a situation and how to manage in a crisis situation



Ratings: Interpersonal Relationships

Excellent

Is considered a role model for other employees in the area of communications and interpersonal relations. Is persuasive and extremely effective in all applicable communications. Seeks to maximize communication and a team approach both within the division and with other divisions or offices. Is looked upon as a leader in almost every situation. Regularly seeks input.

Additional for supervisors:

Attempts in all situations to identify, understand and work constructively with different personality styles, perspectives, backgrounds, interests and needs. Gives all employees a fair chance and opportunity to shine and to be leaders, gives relevant feedback, always acknowledges good work and regularly convenes department meetings or develops other methods of communication to ensure the constructive exchange of information among department members.

Consistently Exceeds Expectations

Is considered persuasive and effective in all communications. Strives for a team approach and insures that applicable communications are passed to co-workers and subordinates and applicable supervisors. Positively assumes control in group situations and successfully moves the group toward task accomplishment. Develops inter- and intra-departmental relationships and seeks input often in an attempt to find effective solutions to problems.

Additional for supervisors:

Attempts to identify, understand and work constructively with different personality styles, perspectives, backgrounds, interests and needs. Treats all employees fairly and encourages their success, regularly gives feedback and recognition to employees and convenes department meetings or develops other communication mechanisms to allow for the constructive exchange of information among department members.

Meets Job Specifications

Writes and speaks clearly, reports necessary communication to supervisor, gets along well with co-workers, reaches satisfactory agreements or determines satisfactory solutions to problems. Effectively and confidently influences others.

Additional for supervisors:

Generally understands and works well with different personality styles, perspectives, interests and needs. Strives to treat employees fairly, gives feedback and recognizes a job well done fairly often and occasionally convenes meetings or finds other ways to have information exchanged between members of the department.

Needs Improvement

Has some lack of clarity in written or oral communication, has difficulty with co-workers or supervisors, rarely seeks input of others, only occasionally finds satisfactory solutions to problems. Occasionally influences others and only in a general or partial way.

Additional for supervisors:

Rarely recognizes different personality styles, perspectives, interests and needs and usually does not accept such differences. Treats employees unequally, rarely gives feedback or recognition, often claims credit for the work of subordinates and rarely finds ways to have information exchanged between members of the department.

Unsatisfactory

Lacks clarity in communications and is often misunderstood by co-workers, often disregards what has been/is being said, frequently causes negative feelings to exist between or within departments. Frequently makes non-productive or obstructive comments in group settings.

Additional for supervisors:

Does not work well with people whose needs, interests, personality styles or perspectives differ from those of the supervisor. Treats some employees poorly and generally treats employees unequally, does not acknowledge work, does not give feedback or is often critical of employees, frequently claims credit for the work of others and discourages the exchange of information between members of the department.

> > Personal Investment < <

Skills

- ▶ Participates in the CSU community and represents CSU, the System Office or the department effectively
- ▶ Considers the impact of decisions on the organization
- ▶ Implements decisions in a way that supports CSU's mission and values
- ▶ Understands the need to provide effective service to colleagues, campuses and public
- ▶ Has high ethical standards and understands a public employee's responsibility to preserve the public trust
- ▶ Seeks opportunities for involvement/displays initiative and dedication to the task at hand
- ▶ Demonstrates the courage to change and improve policies, procedures and tasks and champions innovation in others
- ▶ Seeks to build relationships with stakeholders and to determine their needs before resolving problems or taking action
- ▶ Seeks solutions rather than complaints
- ▶ Seeks to improve morale
- ▶ Demonstrates a focus on objectives and desired results and understands how to get things done despite obstacles
- ▶ Is committed to Continuous Quality Improvement (CQI) principles

Additional Skills for Supervisors:

- ▶ Assists employees in balancing CQI team work with daily tasks
- ▶ Encourages and motivates employees to work to achieve the CSU mission as well as departmental and individual goals
- ▶ Allows flexibility in dealing with personal and work related problems and is available to employees to help them deal with personal or work related situations
- ▶ Demonstrates knowledge and commitment to achieve established agency hiring goals



Ratings: Personal Investment

Excellent

Is seen as a role model in personal investment in the goals and agenda of the CSU System. Is always open to new ideas and serves as a catalyst for others to be creative/innovative in meeting goals of the System/department. Always considers impact of decisions on stakeholders within/without System and seeks input to determine best solution. Is seen as a leader in most situations and has a positive effect on morale. Focuses on continuously improving in all respects and guides others to do the same. Overcomes obstacles and moves forward by taking a positive approach to all problems. Is a leader in helping others adapt to change or to new and unusual situations. Embraces the concepts of Continuous Quality Improvement (CQI).

Additional for supervisors:

Actively encourages employees to be involved in CQI team work. Believes in the mission of the department and motivates employees to meet departmental and individual goals and is available to employees as often as possible to help them balance responsibilities. Seeks out diversity and consistently demonstrates a commitment to equal opportunity in hiring and promotion.

Consistently Exceeds Expectations

Incorporates the CSU agenda into most activities. Understands and consistently seeks to determine impact of decisions on stakeholders and to gather input from them. Able to assume control in group situations and to guide others toward accomplishment of tasks. Views continuous improvement as critical to the success of the organization, is able to overcome obstacles and to move forward even when faced with them. Is consistently able to adapt to new or unusual situations. Embraces the concepts of CQI.

Additional for supervisors:

Helps employees balance their specific departmental tasks with CQI team work. Believes in the mission of the department and seeks to motivate employees to meet departmental and individual goals and is generally available to employees to deal with personal and work related issues. Values diversity and demonstrates a commitment to equal opportunity in hiring and promotion.

Meets Job Specifications

Has a basic understanding of the goals of the CSU System and tries to meet those goals. Understands the notion of working within a System where decisions/actions may impact others in disparate ways. Understands the principles of continuous improvement and attempts to incorporate them in everyday work. Overcomes many obstacles to accomplish tasks. Is generally able to adapt to new or unusual situations. Understands CQI principles.

Additional for supervisors:

Enables employees to participate in CQI teamwork. Understands the department's mission and generally assists employees in meeting departmental or individual goals and is occasionally available to employees to deal with personal or work related issues. Accepts the need for diversity.

Needs Improvement

Rarely considers mission/goals of CSU and fails to consider impact of decisions on others within or without the System. Fails to seek or to consider input from others. Has knowledge of the principles of continuous improvement but rarely seeks to incorporate them in work. Is often unable to accomplish tasks due to obstacles, often focuses on the negative aspects of an issue or solution and is viewed by others as having a negative influence on new ideas, innovation or initiative. Performance is negatively affected when there is a new or unusual situation.

Additional for supervisors:

Tends to make it difficult for employees to participate in CQI teamwork. Does not clearly articulate the department's mission and rarely assists employees in meeting goals. Sees no need to assist employees in dealing with personal issues and rarely will assist an employee with a work related situation. Passively ignores agency hiring goals and occasionally attempts to get around processes created to increase diversity in the workforce.

Ratings: Personal Investment–Con't

Unsatisfactory

Does not know or attempt to learn CSU mission. Does not understand or try to understand the impact of decisions/actions on others within or without the System and acts without concern for the impact on the organization. Does not believe in principles of continuous improvement. Cannot figure out how to overcome obstacles, has a negative attitude and is frequently ignored by other work group members. Is unwilling to adapt to new or unusual situations and requires continual monitoring of performance. Does not support CQI effort.

Additional for supervisors:

Makes it difficult for employees to participate in CQI team work. Does not understand the department's mission, does not assist employees in meeting goals and is not available to them to deal with work related or personal issues. Ignores agency hiring goals and actively tries to get around processes created to increase diversity in the workforce.

> > Professional Achievement < <

Skills

- ▶ Remains current in substantive areas of work
- ▶ Achieves yearly objectives as agreed under the performance evaluation program
- ▶ Effectively administers programs that contribute to increasing productivity.
- ▶ Shares new knowledge with colleagues
- ▶ Learns from experience
- ▶ Is open to new ideas and can apply them appropriately
- ▶ As appropriate, uses own expertise to help solve problems in other functional areas
- ▶ Seeks out and budgets for developmental opportunities for employees

Additional Skills for Supervisors:

- ▶ Takes personal responsibility for coaching and mentoring employees
- ▶ Adheres to CSU's performance appraisal process
- ▶ Supports employees in their achievement of yearly objectives



Ratings: Professional Achievement

Excellent

Actively seeks out training and development and cross trains where possible. Is relied upon by both management and co-workers for knowledge and skill. Regularly seeks feedback on own performance and is sought out by others for constructive feedback about their performance.

Additional for supervisors:

Actively encourages subordinate training, education and cross training. Follows the CSU performance appraisal process and enhances it through regular communication with employees about expectations, goals and training needs. Advocates for funding availability and budgets for professional development of subordinates.

Consistently Exceeds Expectations

Encourages training and development and supports internal and external efforts. Is always current with latest knowledge for all aspects of the job. Seeks feedback on own performance and gives effective constructive feedback to others.

Additional for supervisors:

Encourages employee training, education and cross training. Follows the CSU performance appraisal process and often enhances it through more regular communication with employees about performance and goal achievement. Budgets for professional development.

Meets Job Specifications

Generally supports internal and external training efforts. Is knowledgeable in all aspects of the job. Able to accept constructive feedback and to give it when asked.

Additional for supervisors:

Allows employee training and education. Generally follows the CSU performance appraisal process. Occasionally budgets for professional development.

Needs Improvement

Does not seek out or encourage training and learning opportunities but will participate. Is deficient in some aspects of the job. Has a difficult time accepting constructive feedback on own performance. Tends to give less than constructive feedback to others.

Additional for supervisors:

Rarely allows employee training or education. Minimally or sporadically follows the CSU performance appraisal process. Does not budget for professional development.

Unsatisfactory

Does not seek out training opportunities and does not willingly participate in such opportunities. Is generally deficient in knowledge required for the job. Cannot accept constructive feedback on own performance and gives no feedback or destructive feedback to others.

Additional for supervisors:

Discourages employee training, education or cross training. Does not follow the CSU performance appraisal process. Will not use departmental money for professional development.

> > Promise of Continued Professional Growth < <

Skills

- ▶ Takes accountability for own professional/technical development
- ▶ Constantly learns about new developments and appropriately applies “leading edge” concepts
- ▶ Develops plan for professional growth
- ▶ Regularly reviews position related publications and seeks opportunities for continued professional development
- ▶ Seeks involvement in career growth opportunities
- ▶ Understands the importance of cross-training
- ▶ Modifies approach or techniques consistent with changing requirements
- ▶ Accepts and learns from constructive criticism

Additional Skills for Supervisors:

- ▶ Coaches/assists employees in their professional growth
- ▶ Promotes the importance of cross-training where appropriate
- ▶ Is committed to professional growth and encourages and assists employees in balancing their daily work with professional development goals
- ▶ Supports staff in their pursuit of CSU opportunities (Course work, advanced degrees, promotions, etc.)
- ▶ Assists staff in determining their needs for technical and professional training
- ▶ Seeks out opportunities to improve management skills



Ratings: Promise of Continued Professional Growth

Excellent	Is seen as a role model in planning and pursuing professional development consistent with the goals and agenda of the CSU System. Actively seeks out “leading edge” concepts in the appropriate field. Cross trains where appropriate. Focuses on continuously improving self in all respects and guides others to do the same. Overcomes obstacles to professional and personal growth and moves forward by taking a positive approach. Is seen as a leader in his/her field and has a positive effect on co-workers.
Consistently Exceeds Expectations	Incorporates the CSU agenda into most professional development activities. Always seeks development opportunities to remain current with latest knowledge for all aspects of the job. Cross trains where possible. Views continuous self improvement as critical to successful job performance. Overcomes obstacles to personal and professional growth and to move forward even when faced with them.
Meets Job Specifications	Has a basic understanding of the goals of the CSU System and tries to incorporate them in professional development activities. Generally supports internal and external training efforts. Often seeks development opportunities to remain current with knowledge of the field. Understands the principles of continuous self improvement and attempts to incorporate them in everyday work. Overcomes many obstacles to accomplish professional and personal growth.
Needs Improvement	Seldom understands or attempts to incorporate the goals of the CSU System into professional development activities. Passively resists training opportunities. Is indifferent about the principles of continuous self improvement. Does not attempt to overcome obstacles to personal and professional growth.
Unsatisfactory	Does not know or attempt to incorporate the CSU mission in professional development efforts. Does not seek out training opportunities and does not willingly participate in such opportunities. Does not believe in principles of continuous self improvement. Cannot figure out how to overcome obstacles to personal and professional growth.

Rating

The immediate supervisor shall determine the employee's final rating. The supervisor must meet with the employee to discuss the employee's performance based on established objectives consistent with the System Office objectives, Performance Evaluation Input, the employee's Performance Portfolio, as well as Administrative Skills Objectives. The supervisor will then arrive at a performance rating for each evaluation category and a composite rating. The rating information and a copy of the evaluation will then be shared with

the department head, the employee and the evaluation form shall be forwarded to Human Resources for placement in the personnel file. A summary of all evaluations will be forwarded to the CSU Chancellor.

The supervisor, the employee and the department head must sign the rating form. The employee's signature confirms that the rating was discussed with the supervisor, it does not indicate agreement with the rating.

Evaluation Due Date

Due June 30 for the Rating Period beginning July 1 and ending June 30.

Appeal Process

This appeal process is available to Management/Confidential employees of the CSU System Office. Administrative Faculty employees have available the process outlined in the SUOAF collective bargaining agreement Article 21, Grievance Procedure. Administrative Clerical bargaining unit employees have

available the classified contractual process governing Service Ratings (Article 10) and the Grievance Procedure (Article 15) while Administrative Clerical confidential employees have available the classified management / confidential appeal process (C.G.S. Sec. 5-202).

> > Appeal < <

An appeal shall be defined as a dispute or complaint involving any portion of the evaluation process or the rating itself. However, only disputes over ratings of Needs Improvement or Unsatisfactory may be subject to the Fact Finding process.

An appeal is deemed to have been filed when it has been submitted in writing to the Human Resources Department with a copy to the appellant's immediate supervisor and department head. An appeal may be made at any point during the evaluation process. For an appeal to be considered, it must be filed within thirty (30) days after the employee knew or reasonably should have known of the issue giving rise to the appeal. The appeal should specify: (a) the issue, (b) the date of the alleged transgression, (c) the relief sought.

The Executive Officer for Human Resources or designee shall review the appeal for accuracy and consult promptly with the employee, the immediate supervisor and department head in an attempt to resolve the dispute. The Executive Officer for Human Resources shall oversee the appeal process.

In any appeal concerning the evaluation or evaluation process, a fact finder may not substitute his/her judgment for that of the evaluator in applying the relevant evaluation standard, unless the fact finder determines that the evaluation is unfair, unreasonable, arbitrary, capricious, or contrary to fact.

There are three types of appeals:

- ▶ Declaration
- ▶ Mediation
- ▶ Fact Finding

Declaration

The employee asserts his/her complaint regarding the performance evaluation or the evaluation process in a letter which becomes part of the performance evaluation document and the employee's personnel file.

Mediation

The employee and supervisor will present their perspectives to a mutually acceptable mediator who shall investigate the situation and submit to the parties and the CSU Chancellor a written recommendation, within 30 calendar days from the appointment of the mediator, with one or more ways to dispose of the dispute. The parties shall make every good faith effort to abide by the mediator's recommendation. The CSU Chancellor may, at his discretion, enforce such recommendation. The Mediator must be from the CSU System Office and subject to the provisions of this procedure.

Fact Finding

The fact finding shall be conducted by a panel of three employees of the CSU System Office who are subject to the provisions of this procedure. One panel member shall be selected by the employee, one by the Chair of the Equal Opportunity Advisory Committee, and the third member shall be appointed by the CSU Chancellor. The employee and supervisor will present their perspectives to the panel which shall investigate the situation and submit to the parties and the CSU Chancellor a written majority decision, within 30 days from the appointment of the panel, dispositive of the dispute. The panels decision shall be binding.

In any appeal, the rules of fairness, reasonableness and good faith shall apply.

Annual Payout

Excellent	Only if three (3) or more of the employee's evaluation categories are rated Excellent and no category is rated below Consistently Exceeds Expectations, should the supervisor recommend the highest overall rating, Outstanding. The exceptional achievements of the manager who receives an Outstanding rating should be substantially greater than those required for a rating of Consistently Exceeds Expectations.
Consistently Exceeds Expectations	Only if three (3) or more of the employee's evaluation categories are rated Consistently Exceeds Expectations and no category is rated below Meets Job Specifications, should the supervisor recommend the overall rating, Consistently Exceeds Expectations. Rater's standards should be high enough to ensure that only a limited percentage of employees exceed expectations. The superior achievements of the employee who receives an Consistently Exceeds Expectations rating should be obvious.
Meets Job Specifications	Only if three (3) or more of the employee's evaluation categories are rated Meets Job Specifications and no more than one category is rated lower, should the supervisor recommend the overall rating, Meets Job Specifications.
Needs Improvement	Only if two (2) or more of the employee's evaluation categories are rated Needs Improvement and/or Unsatisfactory, should the supervisor recommend the overall rating, Needs Improvement. A Needs Improvement rating will merit one half of the Meets Job Specifications salary increase. A second consecutive annual rating of Needs Improvement may not merit any increase.
Unsatisfactory	When two (2) or more of the employee's evaluation categories are rated Unsatisfactory, the employee's overall rating shall be Unsatisfactory. No payout will be made to those rated Unsatisfactory.

The Merit Pool is the sum of money designated to reward Management / Confidential employees who achieve the ratings of Excellent or Consistently Exceeds Expectations. This sum is the difference between the total amount allocated to salary adjustments and the amount used for the general wage increase. In order to achieve equity in merit recognition, the distribution of the Merit Pool shall be on a System Office-wide basis, not by individual departments or work units. Each rating category shall yield the same percentage increase.