

**CCNY HUMAN RESOURCES
EMPLOYEE PERFORMANCE EVALUATION
(CLASSIFIED STAFF & HEO SERIES)
TRAINING SERIES**

OVERVIEW

1. Brief discussion on performance evaluations –

- a. Higher Education Officer (HEO) Series
- b. Classified Staff

1. Performance Management

2. Review of the HEO and Classified Staff Performance Evaluation Forms

3. Professional Development

4. Next Steps

OVERVIEW: HEO SERIES EVALUATIONS

1. Pursuant to Article 18.3(b) of the PSC/CUNY Contract
2. Preferably once each semester but at least annually
3. Applicable to all HEO Series employees including those w/13.3b status
4. Separate from HEO Series Reappointment process
5. However, the HEO Series performance evaluations informs the HEO Series Reappointment Process

OVERVIEW: CLASSIFIED STAFF EVALUATIONS

1. Pursuant to the various Collective Bargaining Agreements applicable to all Classified Staff titles
2. Employees in their first year of service evaluated quarterly
3. After one year of service, employees are evaluated annually
4. Employees rated less than satisfactory re-evaluated after 3 months
5. NEW: Section to indicate employee Goals and Professional Development Plan

SOME BASICS ABOUT THE PERFORMANCE EVALUATION

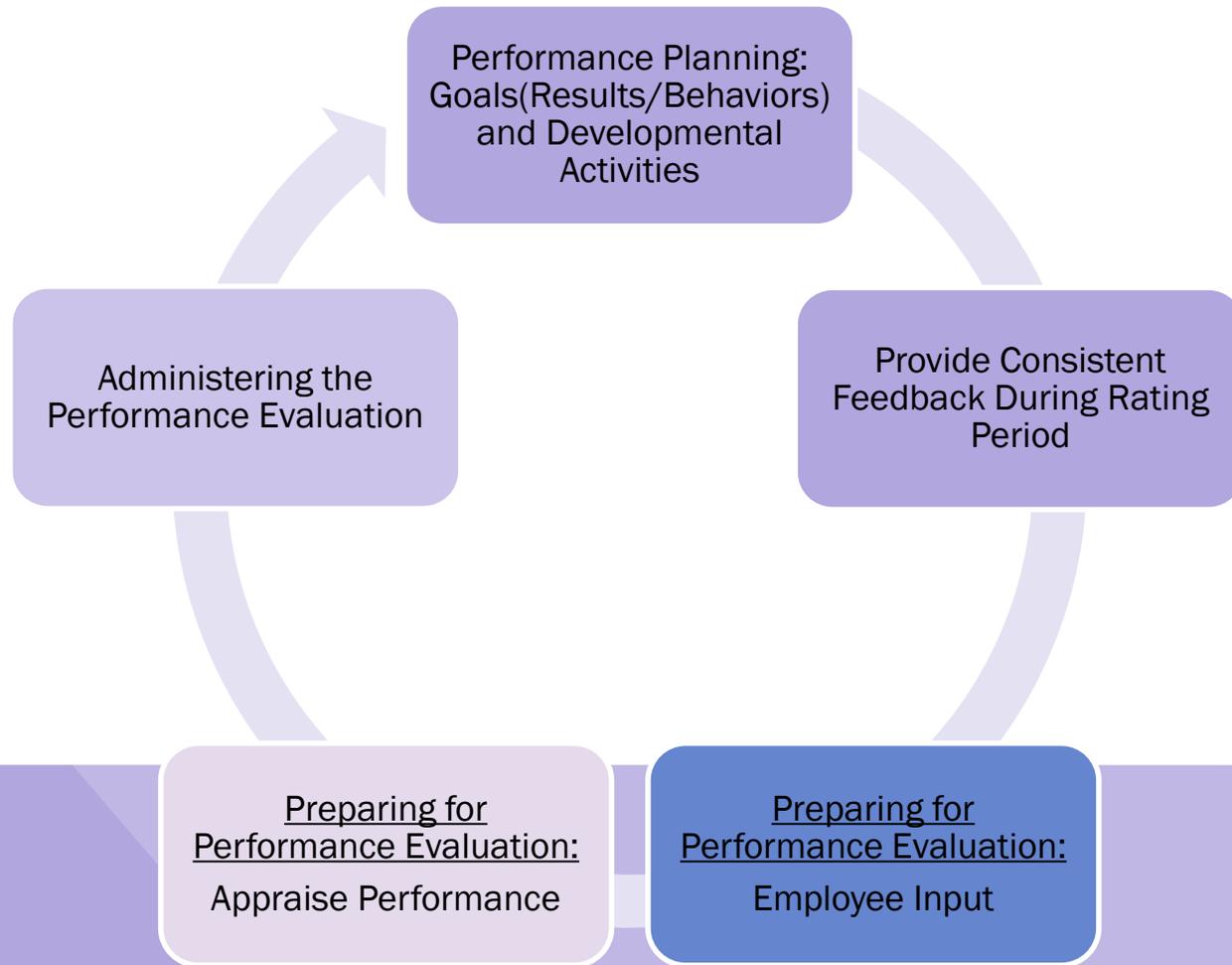
A Performance Evaluation is an assessment of an employee's work over a specific period of time – typically annually.

Why do Employers use Performance Evaluations?

- 1. To reinforce departmental expectations*
- 2. Recognize employee contributions, as well as, discuss areas for improvement*
- 3. Identify opportunities for training and professional development*
- 4. Provide the basis for advancement opportunities.*

*A Performance Evaluation is also part of a
system of PERFORMANCE MANAGEMENT*

OVERVIEW OF THE PERFORMANCE MANAGEMENT PROCESS



Performance Management is essential for an organization's success and one of a manager's most important responsibilities.

Performance Management can be a highly personal and uncomfortable process for supervisors and employees.

POTENTIAL OUTCOMES OF EFFECTIVE PERFORMANCE MANAGEMENT

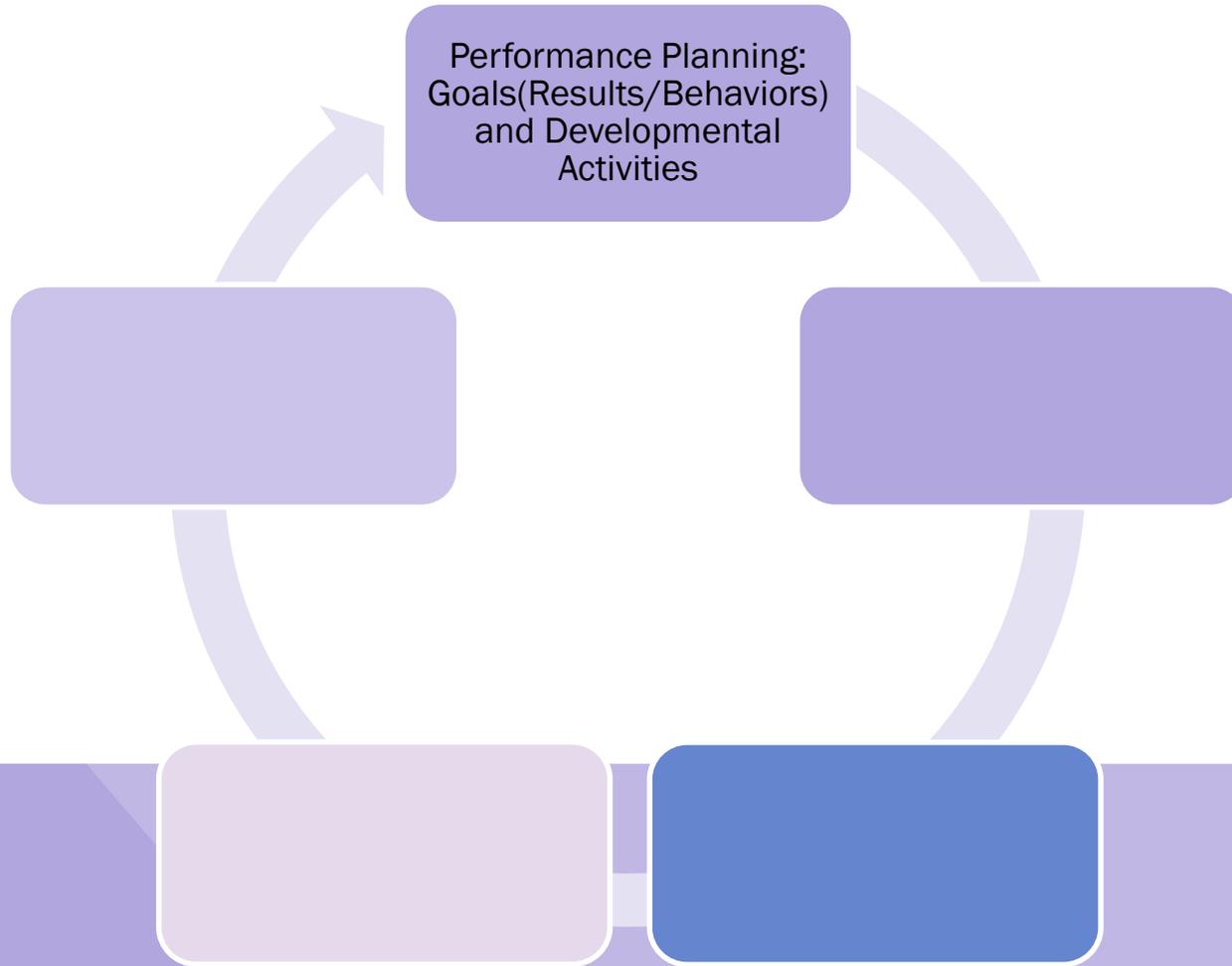
- 1. Employees are clear about their job responsibilities and expectations**
- 2. Increased individual and group productivity**
- 3. Communication between employees and supervisors is optimized**
- 4. Employee development is enhanced through effective feedback and coaching**

POTENTIAL OUTCOMES OF EFFECTIVE PERFORMANCE MANAGEMENT

(CONTINUED)

5. Performance goals and behaviors are aligned with the College's and departments' goals and strategic plans
6. Supports operational decisions, (e.g., promotions, merit increases)
7. Provides documentation of performance for corrective measures
8. Serves as a basis for separation.

PERFORMANCE PLANNING



PERFORMANCE PLANNING...

1. Performance Expectations
2. Goals / Behavioral Expectations
3. Professional Development

PERFORMANCE PLANNING...(CONTINUED)

When determining Performance Expectations consider the following –

1. *Departmental Goals*
2. *Employee's job description (JD)*
3. *Review day to day work [should be consistent with the JD and the departmental goals]*
4. *Review Performance Evaluation Objectives*
 - a. *Competency Categories*
 - b. *Rating Period: Annual, Semester, Quarterly (Classified only)*

PERFORMANCE PLANNING...(CONTINUED)

Goals / Behavioral Expectations –

1. *Goals – work to be achieved within the rating period*
2. *Behavioral Expectations – how an employee is expected to go about performing their job within the rating period*

PERFORMANCE PLANNING...(CONTINUED)

Some guidelines for ESTABLISHING Goals/Behavioral Expectations with your employee:

1. *Goals must clearly define the end results to be accomplished*
2. *To the extent possible, goals should have a direct and obvious link to organizational success factors or goals*
3. *Goals should be difficult, but achievable, to motivate performance*
4. *Goals should be set in no more than three areas – too many different goals at once will impede success*
5. *Goals should be S.M.A.R.T. [Specific, Measurable, Achievable, Relevant & Time-Bound]*

PERFORMANCE PLANNING...(CONTINUED)

Examples of Goals & Behavioral Expectations –

Goals –

1. *Decrease student attrition by 10% in the school year*
2. *Increase student participation in workshops by 10% in the Fall semester and an additional 10% in the Spring semester*
3. *Present data on the end of semester reports in Excel format*
4. *Improve work order completion rate to a minimum of one work order per day*

PERFORMANCE PLANNING...(CONTINUED)

Examples of Goals & Behavioral Expectations –

Behavioral Expectations –

- 1. Connect with stakeholders (i.e., students, peers, senior administration, etc.) by listening patiently for their needs and clearly and effectively sharing information;*
- 2. Avoid confrontational interactions with direct reports /supervisors*
- 3. Respond timely (within 24 hours) to communications from internal and external stakeholders*

PERFORMANCE PLANNING...(CONTINUED)

Professional Development

1. Hard and soft skills *developmental activities planned for the employee during the rating period;*
2. *Requirements and developmental areas to pursue in preparation for advancement.*
3. *Professional Development may occur through experiential activities at work and/or opportunities outside of work (e.g., training classes)*

PERFORMANCE PLANNING...(CONTINUED)

Professional Development (continued)

Some Resources for Training Classes:

1. City College's Continuing and Professional Studies (CPS)
<https://www.cuny.cuny.edu/cps;>
2. CUNY's Office for Professional Development and Learning Management (PDLM)
[https://www.cuny.edu/about/administration/offices/hr/professional-development-learning-management/;](https://www.cuny.edu/about/administration/offices/hr/professional-development-learning-management/)
3. NYC Department of Citywide Administrative Services (DCAS)
[https://www1.nyc.gov/site/dcas/agencies/citywide-training-and-development.page;](https://www1.nyc.gov/site/dcas/agencies/citywide-training-and-development.page)

PERFORMANCE PLANNING...(CONTINUED)

Examples of Professional Development Plans –

- 1. To assist you with improving in the performance areas identified, weekly one-on-one meetings w/supervisor will be scheduled. The meetings will allow your supervisor to monitor your work more closely and provide you with more immediate feedback when issues arise.*
- 2. To help address CUNY Central's new requirement that the department submit its reports in MS Excel format and to provide you an opportunity to take on more Data management responsibilities, we agreed that you will attend CPS's intensive MS Excel training in the summer semester. Upon completion of the training you will be responsible for generating reports for the department and preparing them in accordance with CUNY Central's specifications.*

PERFORMANCE PLANNING...(CONTINUED)

Examples of Professional Development Plans –

- 3. Your performance continues to be exceptional. In response to your request to take on more management responsibilities, it was agreed that for 6-months, you will assume responsibility for managing the assignments and the review and signing of timesheets for the department's college assistants and work-study students. During the 6-month period we will hold one-on-one meetings bi-weekly to assess your progress and provide any needed support.*

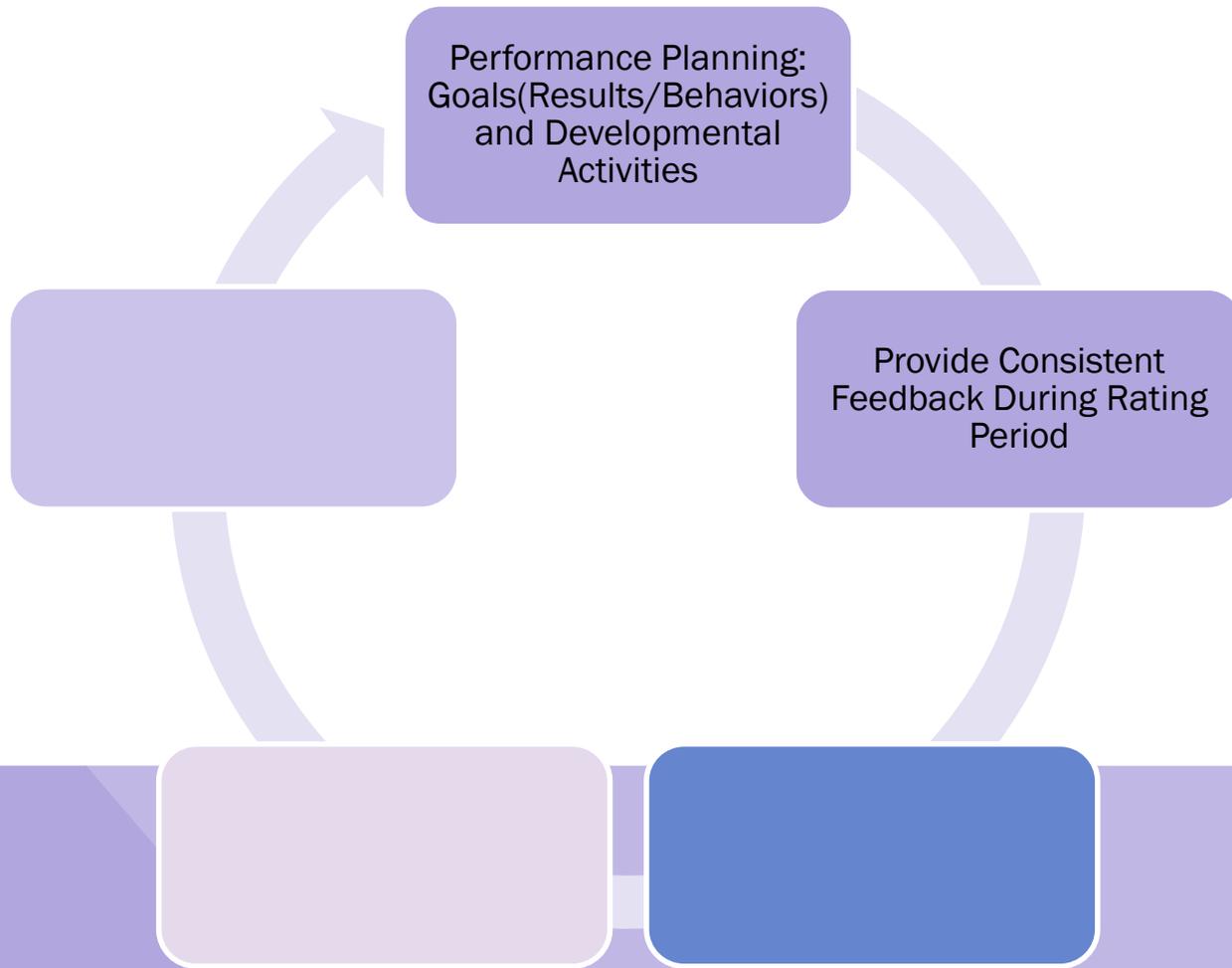
PERFORMANCE PLANNING...(CONTINUED)

- **Goals, Behavioral Expectations and Professional Development activities should be aligned with the needs of the department**
- **Goals, Behavioral Expectations and Professional Development should be prepared in consultation with the employee to ensure their commitment to achieving them**

BRIEF REVIEW OF OUR DISCUSSION THUS FAR...

1. What are the five (5) steps in the Performance Management process?
2. During Performance Planning what three (3) areas are you (the supervisor) addressing with the employee?
3. Define the acronym S.M.A.R.T. as it relates to goal setting?
4. Fill in the blanks: *Performance Management can be _____ and _____ process for supervisors and employees.*

PROVIDING CONSISTENT FEEDBACK



PROVIDING CONSISTENT FEEDBACK...

1. Employees are subject to day to day supervision
2. When providing feedback about performance it should be:
 - a. Provided on an on-going basis (*Daily*)
 - b. Timely (*Critical for Immediate Improvement*)
 - c. Done in private (*Counseling*)
 - d. Non-adversarial (*Coaching*)

PROVIDING CONSISTENT FEEDBACK...(CONTINUED)

3. On-going feedback is more effective when there is two-way communication between the supervisor and employee –
 - a. *Supervisors provide constructive and timely feedback; feedback is objective never personal*
 - b. *Employees seek feedback to ensure that they understand how they are performing*
 - c. *Collaboratively plan steps to address development needs*

PROVIDING CONSISTENT FEEDBACK...(CONTINUED)

On-going feedback can be provided in a variety of ways:

1. *Verbal*
2. *Email*
3. *Letter /Memorandum*

PROVIDING CONSISTENT FEEDBACK...(CONTINUED)

Examples of On-Going Feedback – VERBAL/EMAIL

Subject: Job Well Done

“I am pleased to inform you that the Vice President was pleased with the way you handled student registration this week. Additionally, several students remarked about your attentiveness and professionalism when addressing their needs. Thank you and keep up the good work.”

PROVIDING CONSISTENT FEEDBACK...(CONTINUED)

Examples of On-Going Feedback – EMAIL

Subject: Concerns with Annual Report

“I have finished my review of the annual report that you submitted yesterday and it is rife with typographical errors and incorrect information. Please see my edits and make the appropriate corrections immediately as it is due to the Vice President tomorrow morning. I note that this is not the first time that I have had to bring this issue to your attention. Also troubling is that you were given the correct information to include in the current report last week. We will discuss this matter at our next one-on-one meeting. Please come prepared with ideas on how you can address this issue in the future.”

PROVIDING CONSISTENT FEEDBACK...(CONTINUED)

Examples of On-Going Feedback – Letter /Memorandum

RE: Lateness

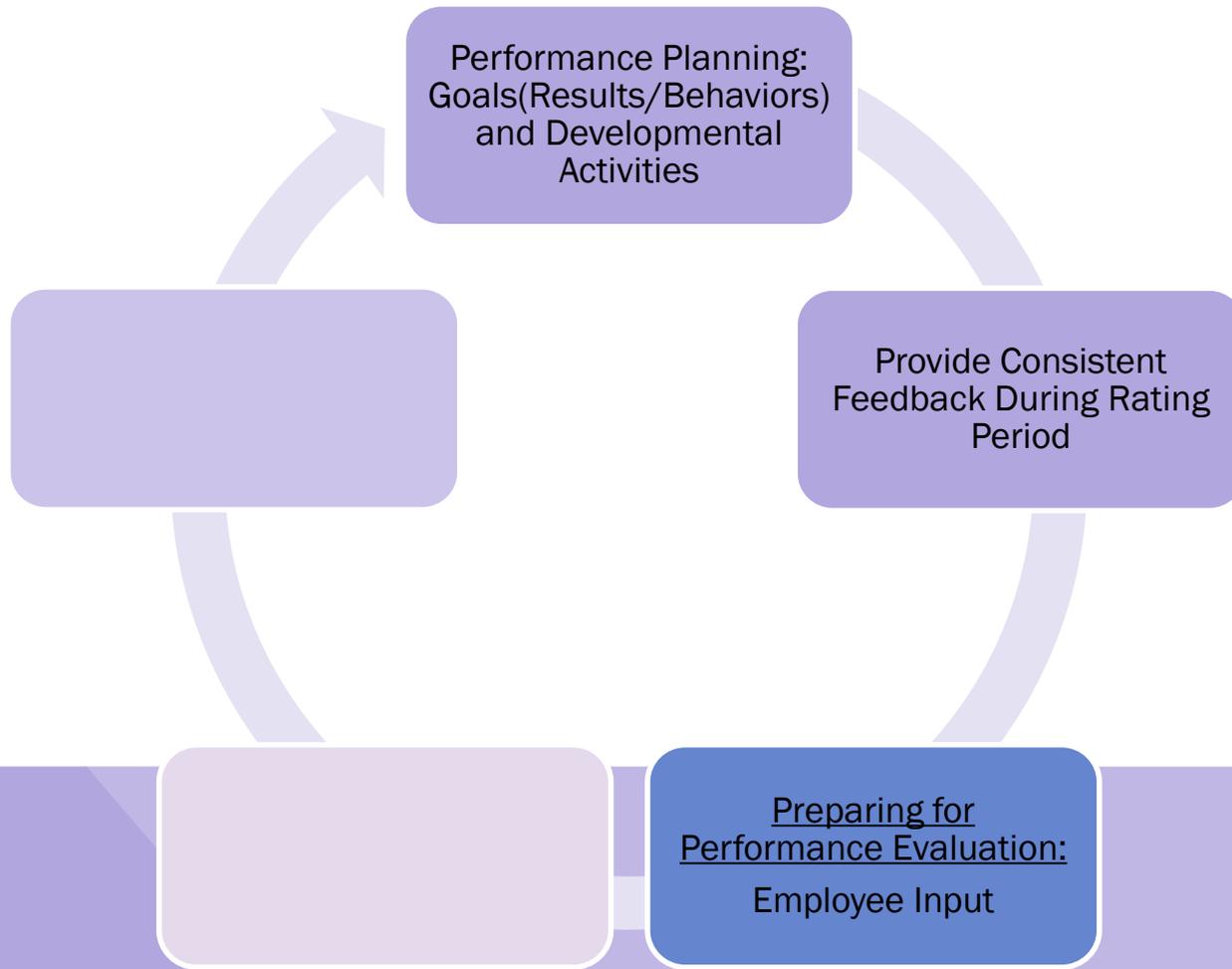
“This letter summarizes our discussion about your lateness to work. Today you were 15 minutes late to work. Additionally over the past 3 weeks you reported late to work 8 times. I advised you that your lateness creates coverage issues within the department. You informed me that you have had some unanticipated child care issues and that you hope to have them worked out by next week. I advised you that in the future you must communicate these matters to me in advance. Doing so gives us an opportunity to troubleshoot ways to help you and help us minimize the impact your lateness has on the operation.

I also suggested that you consult with HR about child care support options. We agreed that I would follow-up with you in 2 weeks to assess your improvement in this area.”

PROVIDING CONSISTENT FEEDBACK...(CONTINUED)

On-going feedback during the rating period generally equates to fewer surprises for the employee and minimizes the possibility of an uncomfortable discussion between the supervisor and employee when the performance evaluation is administered.

PREPARING FOR PERFORMANCE EVALUATION: EMPLOYEE INPUT



PREPARING FOR PERFORMANCE EVALUATION

EMPLOYEE INPUT

In preparation for the performance evaluation , collecting the employee's input about their performance involves them in the process of assessing their work. This enhances ownership and acceptance by the employee.

PREPARING FOR PERFORMANCE EVALUATION ... (CONTINUED)

Methods for collecting EMPLOYEE INPUT – Self Evaluation vs. Statements about Accomplishments

| SELF EVALUATION | STATEMENTS ABOUT ACCOMPLISHMENTS |
|---|--|
| Employee asked to self-rate based on evaluation competency categories | Employee provides a situation, the actions they took to achieve desired results and the impact of their accomplishment on the organization |
| Typically employee's ratings are compared to supervisor's ratings | Supervisors are reminded about the employee's accomplishments and how they were achieved |
| Defensiveness and disagreements may result if supervisor rates employee less favorably than the employee rated them self (employee) | Fewer disconnects (and disagreements) between the supervisor's and employee's views of the employee's contributions |

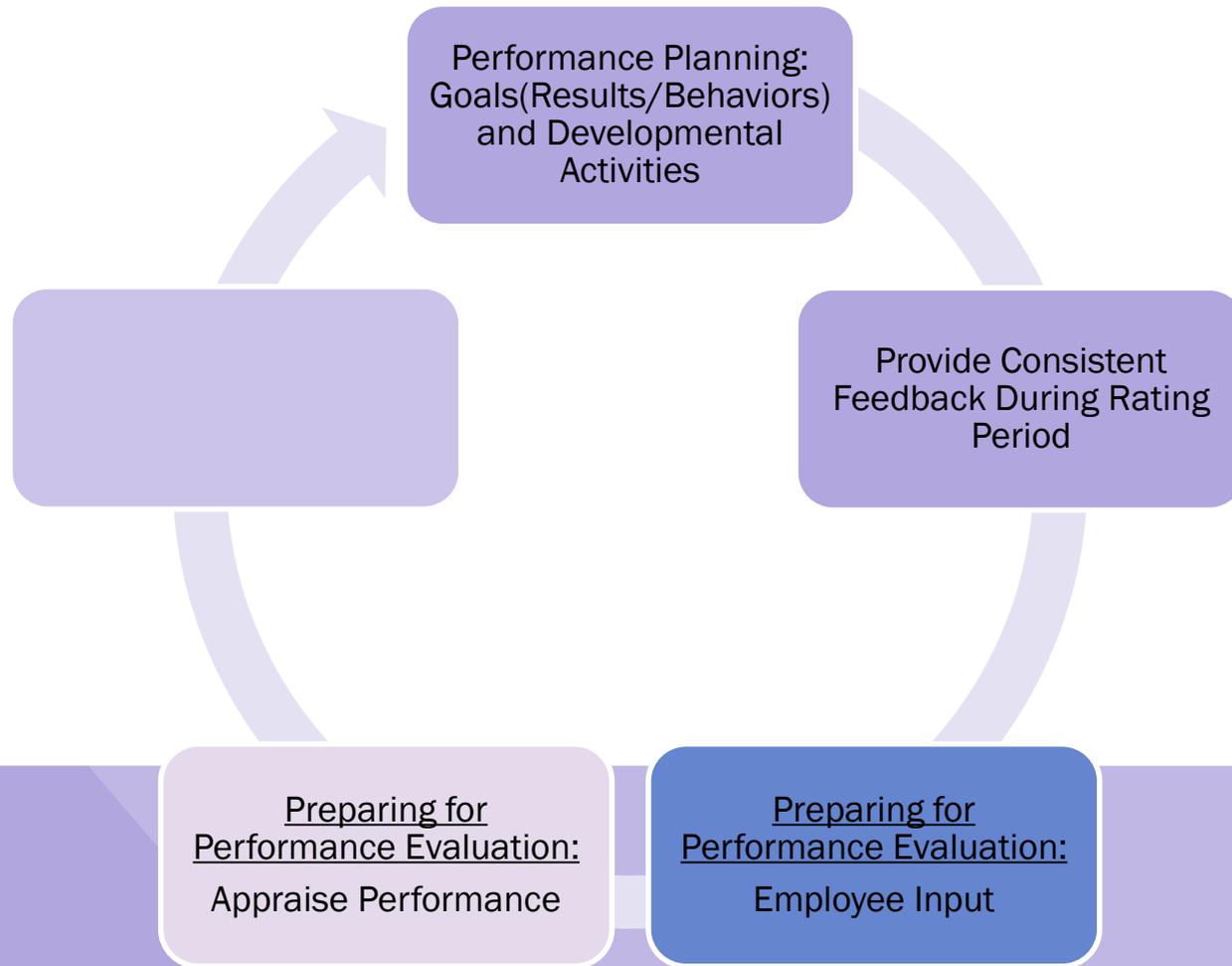
BRIEF REVIEW OF OUR DISCUSSION THUS FAR...

1. What are two (2) methods for collecting employee input for the performance appraisal process?

2. When providing feedback about performance it should be:
 - a. Provided on an on-going basis (*Daily*)
 - b. Timely (*Critical for Immediate Improvement*)
 - c. Done in private (*Counseling*)
 - d. Non-adversarial (*Coaching*)
 - e. All of the Above

3. On-going feedback is more effective when there is _____ communication between the _____ and _____.

PREPARING FOR PERFORMANCE EVALUATION: APPRAISE PERFORMANCE



PREPARING FOR PERFORMANCE EVALUATION... (CONTINUED)

APPRAISE PERFORMANCE

When appraising an employee's performance over a rating period, you want to include the total overall performance. To help ensure that this occurs the following items should be considered:

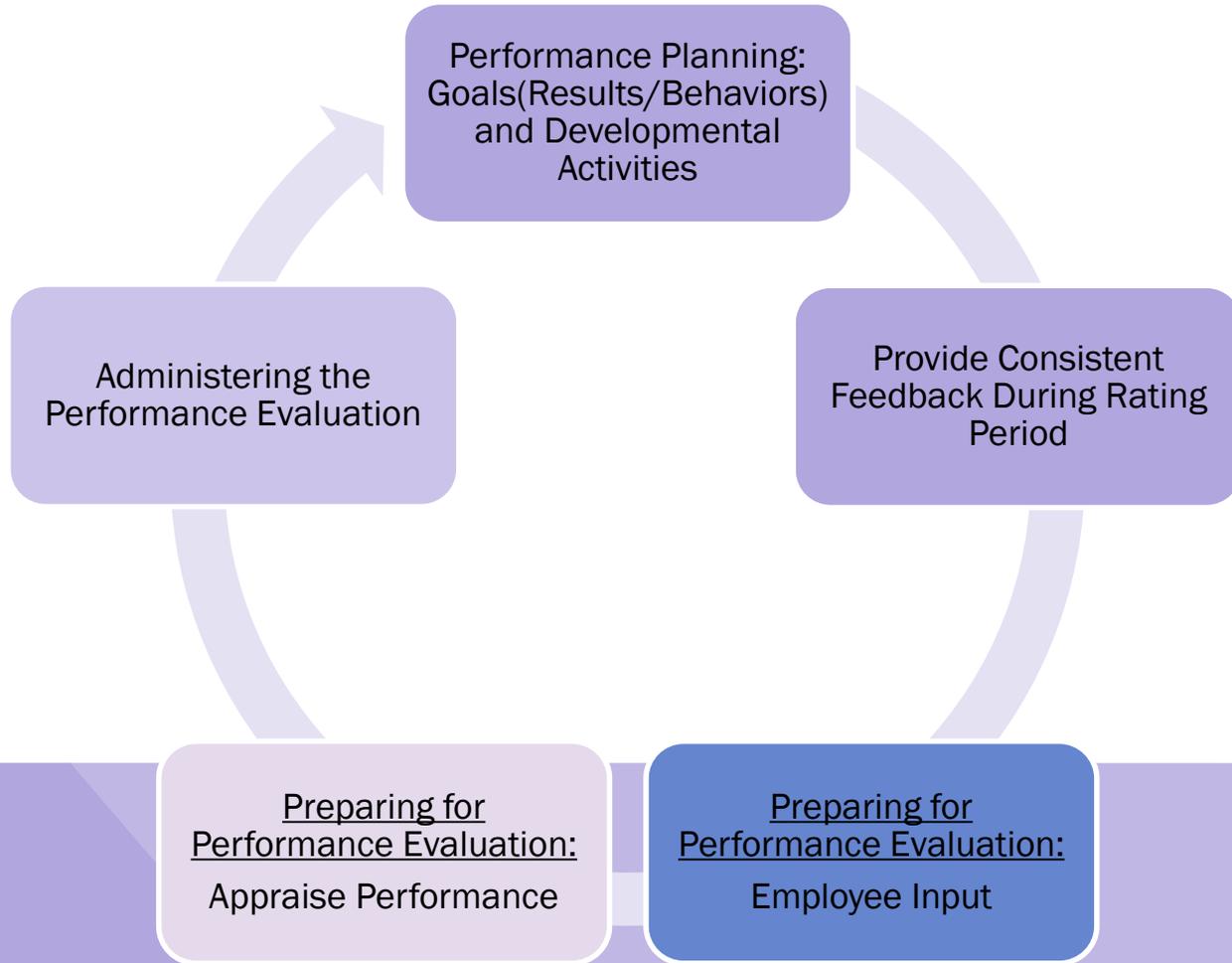
- 1. Performance Planning Objectives reviewed at the beginning of the rating period (i.e., Performance Expectations, Goals/Behavioral Expectations, Professional Development)*
- 2. On-going feedback that was provided*
- 3. Employee Input received*

- ✓ You have done the work!
- ✓ You have the information!

Now What?

It's time to Administer the Performance Evaluation!

ADMINISTERING THE PERFORMANCE EVALUATION



ADMINISTERING THE HEO PERFORMANCE EVALUATION

Administering the HEO Performance Evaluation is a Two Step Process*:

1. Evaluation Conference
2. Conference Memorandum (i.e., Performance Evaluation)

* The Two-Step Process is pursuant to the PSC/CUNY Agreement.

ADMINISTERING THE HEO PERFORMANCE EVALUATION...(CONTINUED)

1) Evaluation Conference

- a. Meeting between only the supervisor and employee
- b. The supervisor may bring notes to inform the discussion
- c. Important that supervisor elicit the employee's feedback
- d. Important that total performance for the rating period is discussed

ADMINISTERING THE HEO PERFORMANCE EVALUATION...(CONTINUED)

1) Evaluation Conference (continued)

- e. Desirable performance noted
- f. Areas of improvement identified
- g. Goals and Developmental Plans established

ADMINISTERING THE HEO PERFORMANCE EVALUATION...(CONTINUED)

2) Performance Evaluation

- a. Prepared after the Evaluation Conference
- b. Summarizes the Evaluation Conference discussion inclusive of the employee's comments
- c. Given to the employee within 10 working days following the Evaluation Conference
- d. The employee provided 10 days to review, sign and return to their supervisor.
- e. The employee may submit comments regarding the performance evaluation at any time

ADMINISTERING THE HEO PERFORMANCE EVALUATION...(CONTINUED)

CUNY Evaluation Memorandum - HEO Series

Supervisors' Instructions

Preferably once each semester, but at least once each year, employees in the HEO series are required to have an evaluation conference with the chairperson or supervisor to be designated by the appropriate dean or President. Please note that no parties other than the evaluator and the employee are permitted to attend the conference. At the conference, the employee's total performance and professional progress shall be reviewed for that year. Following this conference, the evaluator shall prepare a record of the evaluation discussion in memorandum form for inclusion in the employee's personal file. The evaluation memorandum should reflect both the employee's and the supervisor's input at the conference. A copy of the memorandum shall be given to the employee within ten (10) working days following the conference.

While effective evaluation of job performance is an on-going process, this form is to be used only for evaluations conducted pursuant to Article 18.3(b) of the PSC/CUNY collective bargaining agreement. A performance evaluation is intended to encourage the improvement of individual professional performance and to provide a basis for future personnel decisions.

Step 1: Core Competencies

A competency is the capability to apply or use a set of related knowledge, skills, and abilities required to successfully perform critical work functions or tasks in a defined work setting.

Identify and comment upon core competencies that relate to the key responsibilities of the employee's job. (Attach employee's job description, if available.) You may use some or all of the competencies listed on the form. If the listed competency is not appropriate, either replace it with an appropriate job competency or enter "not applicable." Comments should reference examples of the employee's work on specific assignments.

Step 2: Goals and Objectives

Rate and discuss the employee's performance on his or her prior year's goals and set goals for the upcoming year.

Step 3: Professional Development Plan

Indicate actions that will be taken by the employee or supervisor to support the goals indicated in Step 2 above or to address any weaknesses identified in Step 1.

Step 4: Overall performance rating

Place an X in the box or circle the rating that indicates your assessment of the employee's overall performance during the applicable period. The following rating definitions have been established to provide an equitable evaluation process, improve communication, define performance expectations, improve job productivity, and summarize job performance.

Rating Scale/Standards

| | |
|--------------|---|
| Level 4 / SE | Surpasses Expectations Work performance is consistently superior to the standards of performance. Employee surpasses expectations due to exceptionally high quality of work performed in all essential areas of responsibility, resulting in an overall quality of work that was superior and either 1) completed a major goal or project, or 2) made an exceptional or unique contribution in support of unit, department, or University objectives. |
| Level 3 / S | Satisfactory Work performance consistently meets the standards of performance. Employee achieves expectations in all essential areas of responsibility, and the quality of work overall was commendable. |
| Level 2 / NI | Needs Improvement Work performance does not consistently meet the standards of performance. Serious effort is needed to improve performance. A professional development plan to improve performance, including timelines, should be outlined. |
| Level 1 / U | Unsatisfactory Work performance is inadequate and inferior to the standards of performance. Performance at this level cannot be allowed to continue. Significant improvement is needed in one or more important areas. A professional development plan to correct performance, including timelines, should be outlined. |

HEO Evaluation Basics

- ❖ Preferably once each semester but at least once each year
- ❖ Applicable to HEO series w/13.3b status
- ❖ Meeting between only supervisor and employee
- ❖ Evaluation document issued to employee w/in 10 days of meeting
- ❖ Rebuttal permitted

ADMINISTERING THE HEO PERFORMANCE EVALUATION...(CONTINUED)

CUNY Evaluation Memorandum - HEO Series

| EMPLOYEE DATA | | SUPERVISOR DATA | |
|-----------------------------------|--|-----------------|--------------------|
| Name | | | |
| Department | | | |
| Division | | | |
| Contract Title | | | |
| Functional Title | | | |
| Date Initial College Appointment | | | NA – Employee Only |
| Date Appt to Current Position | | | NA – Employee Only |
| Evaluation Period | | | |
| Start Date: | | End Date: | |
| Date of Evaluation Conference | | | |
| Date Evaluation Given to Employee | | | |

A. Competency Evaluation

Core competencies 1-8 are applicable to all titles. Core competencies 9-11 are applicable only to HE Associates and HE Officers who are managers or supervisors. Item 8 allows managers to enter unit-specific competencies.

| Competency | Comments |
|---|----------|
| 1. Professional/Technical Competence Has requisite knowledge and competence in the field and applies up-to-date technical/professional principles, practices, and standards appropriate to the functions of the department; acts as a resource person upon whom others can draw. | |
| 2. Problem Solving / Decision-Making Problem solving: Identifies problems, involves others in seeking solutions; conducts appropriate analyses; searches for best solutions; responds quickly to new challenges. Decision-making: Makes clear, consistent, transparent decisions; acts with integrity in all decision-making. | |
| 3. Communication Connects with peers, subordinates and customers; actively listens; clearly and effectively shares information; demonstrates effective oral and written communication skills. | |
| 4. Quality of Work Product Produces an effective, high quality work product; delivers timely and accurate results. | |
| 5. Teamwork Cooperates and collaborates with colleagues as appropriate; works in partnership with others. | |
| 6. Customer Service Demonstrates that he/she values the importance of delivering high quality, innovative service to internal and external clients; understands the needs of the client; customer service focus. | |

HEO form Page 2 review:

1. Employee and Supervisor Data must be completed
2. An evaluation period must be provided
3. Indicate the dates that the Conference was held and the Evaluation given to employee
4. Section A – Competency categories 1-6 applicable to all HEO titles
5. Section A – However, competencies 9-11 are applicable only to HEA and HEO titles

ADMINISTERING THE HEO PERFORMANCE EVALUATION...(CONTINUED)

CUNY Evaluation Memorandum - HEO Series



| Competency | Comments |
|--|----------|
| 7. Effort and Initiative Exhibits persistence and initiative; puts forth a consistent effort; assumes full and complete responsibility for accomplishment of his/her functions; takes initiative to make improvements; assists in achieving departmental goals; adapts well to change. | |
| 8. Unit or department-specific competencies (Optional) | |
| 9. Inclusiveness – Diversity Shows respect for people and their differences; promotes fairness and equity; engages the talents, experiences, and capabilities of others; fosters a sense of belonging; works to understand the perspectives of others; creates opportunities for access and success. | |
| 10. Strategic Planning and Organizing Understands strategic directions and aligns priorities with broader goals; measures outcomes; uses feedback to change as needed; seeks broad input and synthesizes information; evaluates alternatives; solutions oriented; able to see connections among complex issues. | |
| 11. Leadership and Staff Development Demonstrates ability to inspire teamwork and obtain cooperation from subordinates. Establishes high standards of conduct and job performance for subordinates; maintains open communication channels; delegates work; leads by example. Establishes and articulates a vision of what could be; looks to and plans for the future; accepts new challenges; keeps an open mind. | |
| 11-a. Coaching and Empowering Communicates a positive attitude; serves as a catalyst for action and encourages employees to try new things and take calculated risks; provides honest feedback; minimizes tension and defensiveness; creates an environment for success; mentors and guides employees; fosters leadership in others. | |
| 11-b. Team Building Builds group cohesiveness and pride; encourages cooperation; fosters and practices good communication; recognizes and rewards individuals and team accomplishments and contributions; shares success and rewards; manages conflict. | |

B. Summary of Employee's Comments during the Conference

HEO form Page 3 review:

1. Competency 7 is applicable to all HEO titles
2. Item 8 allows for department specific competency (Additional competencies may be included)
3. As previously indicated competencies 9-11 are only applicable to HEA and HEO titles
4. Section B – provides additional opportunity to include employee comments. However, employee feedback should be indicated throughout the evaluation.

ADMINISTERING THE HEO PERFORMANCE EVALUATION...(CONTINUED)

CUNY Evaluation Memorandum - HEO Series

C. Last Period's Goals

Rate the progress made on each of the goals established at the beginning of the period and any new goals. Note any changes to the original goals.

| 1 | Goal/Objective | Rating | | | | Comments |
|---|----------------|--------|----|---|----|----------|
| | | U | NI | S | SE | |
| 2 | | | | | | |
| 3 | | | | | | |
| 4 | | | | | | |
| 5 | | | | | | |

D. Next Period's Goals

Enter the performance goals for the next period to be evaluated. Individual goals and objectives should align with those of the department and the college.

| | |
|---|--|
| 1 | |
| 2 | |
| 3 | |
| 4 | |
| 5 | |

E. Supervisor's Additional Comments (if any)

HEO form Page 4 review:

- 1. Section C – provides for prior period's goals/behavioral expectations; how they were rated and relevant comments by supervisor and employee**
- 2. Section D – provides for new goals/behavioral expectations**
- 3. Section E – supervisor may include additional comments in narrative format**

ADMINISTERING THE HEO PERFORMANCE EVALUATION...(CONTINUED)

CUNY Evaluation Memorandum - HEO Series

F. Professional Development Plan (if applicable)
Summarize any specific plans for corrective action or training and development for the next review period.

G. Overall Performance Rating
Place an X in the box below that describes the employee's overall performance rating.

| Unsatisfactory | Needs Improvement | Satisfactory | Surpasses Expectations |
|---|---|--|---|
| Work performance is inadequate and inferior to the standards of performance required for the position. Performance at this level cannot be allowed to continue. | Work performance does not consistently meet the standards of performance for the position. Serious effort is needed to improve performance. | Work performance consistently meets the standards of performance for the position. | Work performance is consistently superior to the standards required for the position. |

H. Signatures (The Supervisor signs the evaluation form and then gives it to the employee for signature.)

| Supervisor's Signature | Date Signed |
|------------------------|-------------|
| | |

Employee: Please sign to acknowledge receipt of this memorandum. Please return the original signed copy to your supervisor within 10 days of receipt and keep a copy for your records. Your signature indicates that you have received a copy of this memorandum and does not signify that you agree with the appraisal or its contents. You may attach any comments you desire.

| Employee's Signature | Date Signed |
|----------------------|-------------|
| | |

HEO form Page 5 review:

1. Section F

PROFESSIONAL DEVELOPMENT PLAN

Employee growth and development benefits the department and College. Supervisors and employees are expected to engage in discussions that promote opportunities in this area

2. Section G – Do not forget to include an Overall Rating

3. Section H – Supervisors must sign the document before it is issued to the employee

CHALLENGES IN THE HEO PERFORMANCE EVALUATION PROCESS

1. Failure to provide on-going feedback
2. Total performance is not evaluated
3. Failure to indicate the employee's input in the performance evaluation
4. Supervisor fails to consult with appropriate college resource (i.e., HR, General Counsel, Dean, VP, etc.)
5. The supervisor prepares the performance evaluation prior to the conference and gives it to the employee at the conference
6. Evaluations are only done for poor performers
7. Employee receives their first unsatisfactory evaluation in 13.3b year

SAMPLE CONTENT FOR HEO PERFORMANCE EVALUATION COMPETENCY CATEGORIES



| Competency | Comments |
|---|--|
| <p>1. Professional/Technical Competence Has requisite knowledge and competence in the field and applies up-to-date technical/professional principles, practices, and standards appropriate to the functions of the department; acts as a resource person upon whom others can draw.</p> | <p>Amanda understands student support programs and what is required to make them successful. Amanda has had good ideas and writes well. Amanda's contributions to the dept's mid-year report were invaluable. During our meeting, we discussed options for Amanda taking a greater role in managing the department's data needs. Amanda expressed interest in taking an advanced MS Excel course which would benefit the department. We agreed to seek training options.</p> |
| <p>2. Problem Solving / Decision-Making Problem solving: Identifies problems, involves others in seeking solutions; conducts appropriate analyses; searches for best solutions; responds quickly to new challenges. Decision-making: Makes clear, consistent, transparent decisions; acts with integrity in all decision-making.</p> | <p>Amanda thinks critically and works hard to resolve the problems that arise within the program. Amanda missed some important deadlines during in the past year, which negatively impacted the department. Amanda stated that she struggled with prioritization. Amanda was advised to bring these issues to her supervisor for assistance.</p> |
| <p>3. Communication Connects with peers, subordinates and customers; actively listens; clearly and effectively shares information; demonstrates effective oral and written communication skills.</p> | <p>Amanda has good communication skills and presents effectively and professionally. Early in the rating period there were some concerns with Amanda not responding timely to internal and external stakeholders. The matter was addressed with her and I am pleased to state that she improved in this area.</p> |
| <p>4. Quality of Work Product Produces an effective, high quality work product; delivers timely and accurate results.</p> | <p>The quality and accuracy of Amanda's work has been good. As previously indicated delivering critical projects on time was an issue. During our discussion, Amanda acknowledged that improvement was needed in this area.</p> |
| <p>5. Teamwork Cooperates and collaborates with colleagues as appropriate; works in partnership with others.</p> | <p>Amanda has been commended by colleagues for her efforts at helping them resolve their issues.</p> |
| <p>6. Customer Service Demonstrates that he/she values the importance of delivering high quality, innovative service to internal and external clients; understands the needs of the client; customer service focus.</p> | <p>It was reported that on a few occasions Amanda was impatient and rude to students. Amanda was counseled about the issue. During our discussion Amanda reiterated that she was misunderstood. I will more closely monitor her interactions to see what, if any, support is needed.</p> |

Employee's Profile

Name: Amanda

Title: Program Advisor (HEa)

Duties: Designs and implements recruitment activities and retention initiatives

BRIEF CHECK-IN ON WHAT WE HAVE DISCUSSED THUS FAR...

1. What are the two (2) steps in the HEO Performance Evaluation process?
2. True or False – A third person may attend the HEO evaluation conference in addition to the supervisor and employee.
3. True or False – Employees have 10 days to file a rebuttal to their performance evaluation.
4. True or False –The HEO evaluation document must be prepared prior to the evaluation conference.

ADMINISTERING THE CLASSIFIED STAFF PERFORMANCE EVALUATION

1. Performance Evaluation is prepared by supervisor (Evaluator)
2. The supervisor's manager (Reviewer) reviews the Performance Evaluation prior to it being issued to the employee
3. Upon approval by the Reviewer, the Performance Evaluation is issued to the employee.
4. More than one supervisor may attend a meeting to issue an evaluation to employee
5. Employee rebuttal permitted

ADMINISTERING THE CLASSIFIED STAFF PERFORMANCE EVALUATION...(CONTINUED)



CLASSIFIED STAFF PERFORMANCE EVALUATION FORM

FIRST NAME: LAST NAME:
CURRENT CIVIL SERVICE TITLE: LEVEL:
CURRENT EMPLOYMENT STATUS:
UNDERLYING/PERMANENT TITLE (if other than current):
DEPARTMENT: SUPERVISOR:
DIVISION: EVALUATION TYPE:
EVALUATION MEETING DATE: EVALUATION PERIOD: to

JOB/POSITION SUMMARY

Summarize the primary purpose and essential duties of the job/position, plus its role in accomplishing the goals, objectives and mission of the department, division or University. Click the [Classified Civil Service Job Descriptions/Title Specifications](#) to access the PDF documents. The job titles are listed in alphabetical order by job family (a logical grouping of titles by major purpose or function).

INSTRUCTIONS FOR USING THE CRITICAL JOB SUCCESS FACTORS IN THE EVALUATION PROCESS

1. Mark one box under each applicable factor. Write specific examples or clarifying remarks in the comments box to illustrate the employee's performance or help explain the ratings. Highlight particular accomplishments or strengths, and describe any areas or skills improved or needing improvement.
2. Discuss each factor's rating and the reasons with the employee.
3. The employee's civil service job title specification or position description should be reviewed by the employee and supervisor during the evaluation process. If a customized position description is created from the civil service job title specification, it should be signed by the employee and supervisor, attached and sent to Human Resources to be included with the employee's personnel file.

Classified form page 1:

- ❖ All information on form is required and should be completed.
- ❖ The employee's status should be indicated as Permanent, Probationary, or Provisional.
- ❖ Probationary employees are evaluated quarterly
- ❖ Employees with one year of service are evaluated annually
- ❖ An employee who receives a Does Not Meet Expectations (DNME), should be re-evaluated after three months.

ADMINISTERING THE CLASSIFIED STAFF PERFORMANCE EVALUATION... (CONTINUED)

1) **JOB KNOWLEDGE:** The degree to which the employee understands the job duties and has the ability to accomplish the job functions.

- Consistently exhibits exceptional knowledge and outstanding skills in the most complex aspects of the job.
- Frequently demonstrates better than average knowledge and skills in all aspects of the job.
- Has adequate knowledge and skills to handle job duties.
- Application of knowledge is limited. Required skills are poorly demonstrated.

COMMENTS:

2) **WORK QUALITY:** The degree to which the employee produces accurate, acceptable and thorough work.

- Consistently produces work of the highest quality.
- Produces high quality work; makes few errors.
- Produces acceptable work with minimal errors.
- Produces marginal to unacceptable work; makes excessive errors.

COMMENTS:

3) **WORK QUANTITY:** The employee's level of productivity/output and timeliness of work.

- Consistently completes work ahead of schedule; seeks additional tasks; highest output level.
- Completes most work assigned ahead of schedule; above average output level.
- Completes the majority of work assigned within specified deadlines; acceptable output level.
- Does not complete work assigned within required time limits, generally unsatisfactory output level.

COMMENTS:

Classified form page 2:

1. Competency categories 1- 3

2. Comments represent important feedback for the employee and should be provided for each competency category

ADMINISTERING THE CLASSIFIED STAFF PERFORMANCE EVALUATION... (CONTINUED)

4) **INITIATIVE:** The degree to which the employee demonstrates independent action and resourcefulness on the job by developing new methods, offering constructive suggestions, or seeking additional work.

- Consistently exceeds requirements for independent action and resourcefulness; highly motivated.
- Exceeds requirements for independent action and resourcefulness; diligent worker.
- Meets basic job requirements for independent action and resourcefulness; acceptable worker.
- Rarely initiates independent action as required by the job; requires constant supervision.

COMMENTS:

5) **WORK ETHIC AND HABITS:** The employee's proper handling of confidential information, adherence to policies, and commitment to productivity; ability to add value to the unit, office or department.

- Consistently practices good work ethic and demonstrates integrity in all assigned work; regularly develops methods for streamlining operations and provides constructive suggestions.
- Occasionally practices good work ethic and demonstrates integrity in most assigned work; sometimes develops better methods of completing work and provides constructive suggestions.
- Fails to practice good work ethic; does not demonstrate integrity at work; does not provide constructive suggestions.

COMMENTS:

6) **ANALYTICAL/PROBLEM SOLVING SKILLS:** The employee's ability to identify, analyze and solve problems.

- Consistently demonstrates outstanding analytical skills; able to solve very complex problems creatively. Demonstrates good analytical skills; occasionally able to solve complex problems.
- Solves routine problems satisfactorily; requires help with analyzing and solving complex problems.
- Has difficulty recognizing and solving routine problems; demonstrates little or no analytical skills.

COMMENTS:

Classified form page 3:

1. Competency categories 4-6
2. Comments represent important feedback for the employee and should be provided for each competency category

ADMINISTERING THE CLASSIFIED STAFF PERFORMANCE EVALUATION... (CONTINUED)

7) **CUSTOMER RELATIONS:** The employee's ability to understand and meet the professional needs or expectations of internal or external customers, and communicate effectively with them.

- Exceptional in anticipating and meeting customer needs; communicates very well with customers.
- Anticipates and meets customer needs; communicates well with customers.
- Meets customer needs; communicates adequately with customers.
- Fails to meet customer needs; communicates poorly with customers.

COMMENTS:

8) **INTERPERSONAL SKILLS:** The employee's ability to actively listen, communicate, share information and work cooperatively with staff or coworkers; demonstrate teamwork and build positive relationships.

- Consistently achieves outstanding working relationships; inspires staff and/or coworkers to excel.
- Works cooperatively with others; participates as a good team member.
- Sometimes uncooperative; experiences difficulty relating to staff or coworkers.
- Fails to work cooperatively or achieve good working relationships with staff or coworkers.

COMMENTS:

9) **ATTENDANCE AND PUNCTUALITY:** Consider the frequency of the employee's absences and latenesses per CUNY's attendance and lateness policies, and the observance of lunch and break periods.

- Excellent attendance record: always present and on-time or early.
- Good attendance record: regularly present and on-time.
- Fair attendance record: occasional unscheduled absences and/or latenesses.
- Poor attendance record: habitual unscheduled absences and/or latenesses.

COMMENTS:

Classified form page 4:

1. Competency categories 7-9

2. Competency 9 – Attendance and Punctuality information should be verified with HR

ADMINISTERING THE CLASSIFIED STAFF PERFORMANCE EVALUATION...(CONTINUED)

Important update to the Classified Staff Performance Evaluation form:

- ❖ New section added in response to recommendation made by the President's Sub-Working Group on Personnel Equity and Fairness
- ❖ New section facilitates supervisor and employee discussions about Goals and Professional Development Plans

ADMINISTERING THE CLASSIFIED STAFF PERFORMANCE EVALUATION...(CONTINUED)

10) LAST PERIODS GOALS

Rate the progress made on each of the goals established at the beginning of the period and any new goals. Note any changes to the original goals. Ratings: Does Not Meet Expectations (DNME), Meets Expectations (ME), Exceeds Expectations (EE) and Outstanding (O).

| | Goals/Objectives | Rating | Comments |
|---|------------------|--------|----------|
| 1 | | | |
| 2 | | | |
| 3 | | | |

11) CURRENT PERIODS GOALS

Enter the performance goals for the next period to be evaluated. Individual goals and objectives should align with those of the department and the college.

| | |
|---|--|
| 1 | |
| 2 | |
| 3 | |

12) PROFESSIONAL DEVELOPMENT PLAN

Summarize any specific plans for corrective action or training and development for the next review period.

| |
|--|
| |
|--|

Classified form page 5: (NEW SECTION)

1. Section 10

GOALS

Provides prior period's goals/behavioral expectations, how they were rated and relevant comments by supervisor and employee

2. Section 11 – provides new Goals/Behavioral Expectations

3. Section 12

PROFESSIONAL DEVELOPMENT PLAN

Employee growth and development benefits the department and College. Supervisors and employees are expected to engage in discussions that promote opportunities in this area

ADMINISTERING THE CLASSIFIED STAFF PERFORMANCE EVALUATION...(CONTINUED)

13) OVERALL PERFORMANCE RATING: Based upon the employee's total performance and professional progress during the evaluation period, select the most accurate rating for the overall evaluation.

SIGNATURES

MANAGER OR EVALUATOR

This report represents my best judgment of the value of this employee's work performance during the evaluation period indicated on page one.

SIGNATURE: DATE:

REVIEWER

I have reviewed the performance evaluation report of the immediate manager/supervisor or evaluator. I believe this report is accurate according to my best knowledge.

SIGNATURE: DATE:

EMPLOYEE'S REVIEW OF THE EVALUATION

I have reviewed this work performance evaluation and understand that my signature indicates only that I have read and discussed this performance evaluation and job description with my supervisor or evaluator. It does not necessarily mean that I agree with the evaluation's content. I understand that I may include written comments below or attach a separate sheet, if desired.

SIGNATURE: DATE:

EMPLOYEE'S COMMENTS

Classified form page 6:

1. Section 13 – Do not forget to indicate an overall rating
2. Signatures must be provided by the Evaluator, Reviewer and Employee
3. Employee may indicate their comments on the evaluation form or submit them on a separate document

ADMINISTERING THE CLASSIFIED STAFF PERFORMANCE EVALUATION...(CONTINUED)

PERFORMANCE RATING DEFINITIONS

DOES NOT MEET EXPECTATIONS (DNME)

The employee performance did not meet one or more of the attainable standards of the task and consistently fails to perform the duties and responsibilities of the job description. The employee's own lack of effort or of required knowledge, skills and abilities was responsible; but also was not compliant with CUNY attendance and lateness policies. Performance has been consistently at this level despite sufficient and adequate attempts by the supervisor to correct performance. This level of performance cannot be of long duration. A re-evaluation is required after three months.

MEETS EXPECTATIONS (ME)

The employee's work performance satisfies all the standards of the job tasks; the employee is dependable and consistent in performing all assigned duties and responsibilities. The employee is compliant with CUNY attendance and lateness policies.

EXCEEDS EXPECTATIONS (EE)

The employee's work performance is consistently at a high standard and is better than that required by the job tasks; or has merely attained the standards but the circumstances under which the employee carried out the task were so difficult that superior effort, knowledge, skills or abilities were needed to attain the normal standards.

OUTSTANDING (O)

The employee's work performance excels well above the standards of the job tasks; or the circumstances under which the employee carried out the tasks were so extraordinarily difficult to make attainment of the normal standards an outstanding achievement.

FORM INSTRUCTIONS

- To save a copy of the form on your computer:
 - Click the "Save Form/File As" button
 - Delete the default file name in the File Name field
 - Type the employee's name and the evaluation period or year in the File Name field
 - Select a drive and a folder on your computer and click the "Save" button next to the File Name field.

[Classified form page 7:](#)

Performance rating
definitions.

CHALLENGES WITH THE CLASSIFIED STAFF PERFORMANCE EVALUATION PROCESS

- 1. Failure to provide on-going feedback**
- 2. Total performance is not evaluated**
- 3. Insufficient feedback/comments are provided to support competency rating**
- 4. Supervisor fails to consult with appropriate college resource (i.e., HR, General Counsel, Dean, VP, etc.)**
- 5. Evaluations are only done for poor performers**

SAMPLE CONTENT FOR CLASSIFIED STAFF EVALUATION COMPETENCY CATEGORIES

1) **JOB KNOWLEDGE:** The degree to which the employee understands the job duties and has the ability to accomplish the job functions.

- Consistently exhibits exceptional knowledge and outstanding skills in the most complex aspects of the job.
- Frequently demonstrates better than average knowledge and skills in all aspects of the job.
- Has adequate knowledge and skills to handle job duties.
- Application of knowledge is limited. Required skills are poorly demonstrated.

COMMENTS:

Richard has the basic skills to prepare memos, process payment requisitions, update the payment requisition database and other routine functions. However, he is struggling with coordinating the work of the College Assistants (CA) to ensure that they adhere to departmental protocols. This is a critical task for which he was hired to perform. I have advised Richard of this issue but there has not been any appreciable improvement. We agreed that he would register for a two-day course in Basic Supervision offered by CUNY Central. Additionally, I will monitor more closely his interactions with the CAs for opportunities to determine what additional support may be needed.

2) **WORK QUALITY:** The degree to which the employee produces accurate, acceptable and thorough work.

- Consistently produces work of the highest quality.
- Produces high quality work; makes few errors.
- Produces acceptable work with minimal errors.
- Produces marginal to unacceptable work; makes excessive errors.

COMMENTS:

Richard's work quality is at times satisfactory. His written communications and efforts to resolve issues with the administrative departments we serve has been good. However, Richard's supervisors have had to intervene on matters related to CA scheduling and payroll. As previously indicated we are taking steps to address concerns with coordinating the work related to the CAs.

3) **WORK QUANTITY:** The employee's level of productivity/output and timeliness of work.

- Consistently completes work ahead of schedule; seeks additional tasks; highest output level.
- Completes most work assigned ahead of schedule; above average output level.
- Completes the majority of work assigned within specified deadlines; acceptable output level.
- Does not complete work assigned within required time limits, generally unsatisfactory output level.

COMMENTS:

As a result of the issues with the CAs, one of Richard's primary functions - ensuring that the department's front desk is running efficiently - has not been performed satisfactorily. There have been instances in which the department has received complaints because there has been no coverage at the front desk. Additionally, problematic is that Richard was available to cover the desk during the times there was no coverage but failed to do so. Richard was counseled about this issue.

Employee Profile

Name: Richard

Title: Administrative Assistant
(CUNY Office Assistant – COA)

Duties: Responsible for maintaining front desk coverage; answering telephone calls; coordinating the work of College Assistants and work study students

PERFORMANCE EVALUATION

Practical Tips:

- ✓ Total performance should be discussed
- ✓ Should be **private and constructive**
- ✓ Ask questions, elicit responses;
- ✓ **Seek opportunities to professionally develop employees**
- ✓ Supervisor should show that they are invested in the employee's success.
- ✓ **Encourage employee to invest in the department's success, as well as, their own.**
- ✓ Offer simple, practical advice



TO CONCLUDE...

- ✓ **Seek opportunities to develop employees**
- ✓ **Provide consistent feedback**
- ✓ **Be diligent in documenting performance**
- ✓ **Consult with Human Resources**



QUESTIONS?