CCNY HUMAN RESOURCES
EMPLOYEE PERFORMANCE EVALUATION
(CLASSIFIED STAFF & HEO SERIES)
TRAINING SERIES
AREAS TO BE COVERED

1. Performance Management Overview
2. Brief overview on the performance evaluations process –
   a. Administering HEO-Series & Classified Staff evaluations
   b. Review HEO-Series & Classified Staff Evaluation Forms
3. Performance Planning: Goals & Professional Development
4. Measuring Performance in the Flexible Work Environment
5. Next Steps
6. Questions
Performance Planning:
Goals and Developmental Activities

Provide Consistent Feedback During Rating Period

Administering the Performance Evaluation

Preparing for Performance Evaluation:
Appraise Performance

Preparing for Performance Evaluation:
Employee Input

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
5. Performance goals 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.
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 WE 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.
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
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.
STEP 1) Evaluation Conference

a. Meeting between only the supervisor and employee

b. The supervisor may bring notes to inform the discussion but not the completed performance evaluation form

c. Important that supervisor elicit employee feedback

d. Important that total performance for the rating period is discussed
e. Desirable performance noted

f. Areas of improvement identified

g. Goals and Plan for Professional Development established
STEP 2) Performance Evaluation

a. Prepared after the Evaluation Conference

b. Summarizes the Evaluation Conference discussion inclusive of the employee’s comments/feedback

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 additional written comments (rebuttal) to be included with the completed performance evaluation
ADMINISTERING THE HEO PERFORMANCE EVALUATION...(CONTINUED)

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 the 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 ongoing process, this form is to be used only for evaluations conducted pursuant to Article 13.3(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.

<table>
<thead>
<tr>
<th>Level 4</th>
<th>Surpasses Expectations</th>
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</thead>
<tbody>
<tr>
<td>Level 3</td>
<td>Satisfactory</td>
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<tr>
<td>Level 2</td>
<td>Needs Improvement</td>
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<tr>
<td>Level 1</td>
<td>Unsatisfactory</td>
</tr>
</tbody>
</table>

Rating Scale/Standards

Evaluation document issued to employee w/in 10 days of meeting

Description of document and rating standards

HEO Form Cover Page...

- 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
- Description of document and rating standards
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 1-8 applicable to all HEO titles**
5. **Section A – However, competencies 9-11 are applicable only to HEA and HEO titles**
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.
**HEO form Page 4 review:**

1. **Section C** – provides for prior period’s goals; how they were rated and relevant comments by supervisor and employee

2. **Section D** – provides for new goals

3. **Section E** – supervisor may include additional comments in narrative format

### Last Period’s Goals

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<tr>
<th>Goal/Objective</th>
<th>Rating</th>
<th>Comments</th>
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<td>5</td>
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</tbody>
</table>

### 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              |        |
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
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 evaluated at least annually

4. Employees rated less than satisfactory re-evaluated after 3 months

5. NEW: Section for Goals and Plans for Professional Development
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.
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 generally evaluated annually.
1. Competency categories 1-3

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

2. Comments represent important feedback for the employee and should be provided for each competency category.
1. Competency categories 7-9

2. **Competency 9** – Attendance and Punctuality information should be verified with HR
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
1. **Section 10**

**GOALS**
Provides prior period’s goals; how they were rated and relevant comments by supervisor and employee

2. **Section 11** – provide new goals

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
1) **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.

Signature:  
Date:  

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**Classified form page 6:**

1. **Section 13** – Do not forget to indicate an overall rating

2. An employee who receives a **Does Not Meet Expectations (DNME)**, should be re-evaluated after three months.

3. Signatures must be provided by the Evaluator, Reviewer and Employee

4. 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's 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 extraordinary 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/Print 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.
### SOME CHALLENGES IN THE 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 (HEO)
4. Supervisor fails to consult with appropriate college resource (i.e., HR, General Counsel, Dean, VP, etc.)
5. Insufficient feedback/comments provided to support competency rating
6. The supervisor prepares the performance evaluation prior to the conference and gives it to the employee at the conference (HEO)
7. Evaluations are only done for poor performers
8. Employee receives their first unsatisfactory evaluation in 13.3b year (HEO)
9. No goals or professional development activities indicated
Performance Planning: Goals and Developmental Activities
PERFORMANCE PLANNING...

1. Performance Expectations
2. Goals for the rating period
3. Professional Development
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. What motivates the employee to come to work everyday?
5. Review Performance Evaluation Objectives
   a. Competency Categories
   b. Rating Period: Annual, Semester, Quarterly (Classified only)
Goals –

1. Work to be achieved within the rating period

2. How an employee is expected to go about performing their job within the rating period
Some guidelines for ESTABLISHING Goals 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]
Examples of Goals –

1. Decrease student attrition by 10% in the school year

2. Increase student participation in workshops by 10% in the Fall semester and 15% 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

5. Plan end of semester gala w/entertainment via Zoom for 200 participants
Examples of Goals –

1. Connect with stakeholders (i.e., students, peers, senior administration, etc.) by listening to their needs and clearly and effectively sharing information;

2. Avoid confrontational interactions with direct reports, supervisors

3. Respond timely (within 24 hours) to communications (telephone, email) from internal and external stakeholders
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)
Some Resources for Training Classes:

1. CUNY’s Office for Professional Development and Learning Management (PDLM)
   https://www.cuny.edu/about/administration/offices/hr/professional-development-learning-management/;

2. City College’s Continuing and Professional Studies (CPS)
   https://www.ccny.cuny.edu/cps;

3. NYC Department of Citywide Administrative Services (DCAS)
   https://www1.nyc.gov/site/dcas/agencies/citywide-training-and-development.page;
Examples of Professional Development Plans –

1. To assist you with improving in the performance areas identified (more effective supervision of staff & submitting assignments timely), 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 responsible for generating reports for the department and preparing them in accordance with CUNY Central’s specifications.
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.
Goals and Professional Development activities should be aligned with the needs of the department.

Goals and Professional Development activities should be reasonable and prepared in consultation with the employee to ensure their commitment to achieving them.
MEASURING PERFORMANCE IN THE FLEXIBLE WORK ENVIRONMENT

Types of Flexible Work Arrangements

Flexible Scheduling
- Flexible Hours – modifying start and end times of regular daily hours
- Condensed Work Week – working the same number of hours per work week in fewer days

Telecommuting – working from home* or an alternate CUNY location for all or part of a regular work week.

(* Home is where the heart is...)
Parameters for Flexible Work Arrangements

- Schedule start times must be between 7:00 AM to 10:00 AM
- Schedule end times must be between 3:00 PM to 7:00 PM
- Condensed work week (35-hour week over a minimum of 4 days with varying day off)
- Establishment of minimum on premise staffing required by department/area
EXPECTATIONS

In either arrangement – flex scheduling or telecommuting – supervisors/managers and staff must ensure continuity of departmental operations.

It is understood that during these times work is being accomplished in different ways. Notwithstanding, employees working remotely are subject to the same performance standards, for their position, that were in place prior to telecommuting.

There is no expectation that evaluations be done in person, only that they be done (See March 20, 2020, email from Paul Occhiogrosso.)
MEASURING PERFORMANCE IN THE FLEXIBLE WORK ENVIRONMENT  (CONTINUED)

Some considerations, when engaging in the performance evaluation process with employees during these times of COVID-19:

- The impact COVID-19 had on employees professionally and personally can be identified
- Additional clarity on support options can be explored (HR consult, may be necessary)
- How goals established in the last evaluation period were impacted by COVID-19?
- New goals should consider the current circumstances to help ensure success for employees and their departments.
- Telework arrangements can be reviewed and revised as needed (see HR for current form)
- Departmental expectations can be reinforced
- Opportunities to help motivate employees through training and development can be identified (e.g., Zoom or Microsoft Teams training).
MEASURING PERFORMANCE IN THE FLEXIBLE WORK ENVIRONMENT (CONTINUED)

Additional considerations/reminders for managers supervising employees who are teleworking:

- Review CCNY/CUNY’s Telework Notice Form with employees to ensure that they are clear (see HR for current form)

- Review technology needs and resources and ensure that employees know how to access technical support. (See Information Technology for any assistance)

- Confirm and remind employees to adhere to agreed upon work schedules

- Develop a remote work plan (e.g., What routine duties cannot be fulfilled remotely and how does this impact operations and stakeholders? How can impact be minimized? Perhaps an on-site presence is needed on limited basis?)

- Make a communication and accountability plan to remain connected and in sync with employees (e.g., how often should work updates be sent; how quickly should employees respond to supervisor, colleagues or other stakeholders.)
TO CONCLUDE...

✓ Stay Positive

✓ Use the evaluation process to discuss accomplishments and to look beyond our challenges to set goals

✓ Seek opportunities to develop employees!

✓ Provide consistent feedback

✓ Be diligent in documenting performance

✓ Consult with Human Resources
***QUESTIONS??***