GUIDELINES FOR STAFF EMPLOYEE

For employees represented by: UAPD (Unit 1); CSEA (Units 2,5,7,9);

The Staff Performance Appraisal (HR 138 Form) is used for staff employees represented by: Union of American Physicians and Dentists (Unit 1); California State Employees Association (Units 2,5,7,9); State Employees Trades Council (Unit 6); Statewide University Police Association (Unit 8); and “Confidential” employees. The Unit 4 Performance Evaluation Form (HR 140 Form) is used only for employees in classifications represented by the Academic Professionals of California. The Performance Planning and Appraisal for Management Personnel (HR 136 Form) is used for all Management Personnel Plan (MPP) employees.

The Staff Performance Appraisal (HR 138 Form) provides a direct link between the evaluative criteria and assigned job functions as described on the employee’s Position Description (HR 120 Form). Supervisors must rate demonstrated performance for each job function based on all applicable factors such as: quality of work; quantity of work/productivity; initiative; professional judgment and responsibility (also including dependability, attendance and working relationships); specific contributions to the campus/CSU and specific contributions to the community in areas directly related to the employee’s work assignment; and any other factors that may impact job performance. The performance appraisal form provides space for narrative comment by the supervisor on performance of job functions. A Staff Employee Self-Evaluation (HR 138a Form) is also available for use in the evaluation process. Employees are encouraged to utilize the Self-Evaluation Form to identify specific accomplishments during the rating period.

For employees with lead or supervisory responsibilities, the Staff Performance Appraisal identifies additional evaluation factors including promoting a safe work environment, demonstrated commitment to equal employment opportunity and diversity, and creation of a climate promoting customer service, collaboration, and teamwork.

The Staff Performance Appraisal and Staff Employee Self-Evaluation forms are available on the Web at: http://forms.calpoly.edu.

PROCEDURES

The Performance Appraisal is a formal means of communication between a supervisor and an employee that provides an opportunity to acknowledge mutual understanding of job duties and responsibilities and to discuss performance expectations and future objectives for the position. The performance appraisal process is the culmination of all informal communication and training that has occurred during the rating period. Permanent employees are evaluated during the annual performance evaluation cycle each Spring. Supervisors are not limited to established evaluation cycles, but can build on that structure to maintain a positive flow of communication and feedback.
Employees appointed to a probationary assignment must serve a probationary period (equivalent to one year or two years of full-time service, depending upon their classification and collective bargaining contract). Employees are typically evaluated on a quarterly basis during their probationary period, and are then moved to the annual evaluation cycle once permanency is achieved.

Permanent employees are normally evaluated once a year, during the annual performance evaluation cycle. Special circumstances (exceptional merit or unsatisfactory performance) should, however, be recorded for recognition or documentation which may be used for progressive corrective action.

Temporary/intermittent employees (those who work hourly or whose appointments are for a set period of time) are evaluated at periodic intervals, at the discretion of the supervisor or at the request of the employee.

**FORM CONTENT**

**Name** - The employee’s last and first names, and middle initial, if applicable.

**Employee ID** - The PeopleSoft-assigned employee identification number. This number may be obtained through a Polydata query or by accessing PeopleSoft and navigating: Administer Work Force ! Job Data ! Update/Display; and performing a search on the employee’s last name.

**Job Classification** - The job classification held by the employee during the period of evaluation (e.g., Administrative Support Assistant II).

**Start Date in Current Classification** – The month/year the employee entered the job classification.

**Department** - The employee’s work department.

**Type of Evaluation** - Indicates whether the performance evaluation is for a probationary employee, an annual evaluation for a permanent employee, a periodic evaluation for a temporary employee, or an evaluation for a special period of time (e.g., temporary reassignment).

**Period covered by this appraisal / length of time under current supervisor** - The duration that the performance appraisal covers and the period of time that the employee has worked under the evaluating supervisor.

**Job Functions Section**

**Essential Job Functions** and corresponding percents of time from the position description should be listed on the Staff Performance Appraisal Form. As in the Position Description Form, these functions should be listed in descending order of importance. Please note that you may simply use the header for the Essential Job Function or an abbreviated, summary description of the function.

**Other Job Functions** may be grouped and summarized together. The sum of all functions should equal 100%.

**Rating Scale**

Please assign a numerical rating for each job function listed. The rating scale is a range of values from “1” to “5” with “5” as the highest value. The range of values is defined as follows: 1 = Unacceptable; 2 = Needs Improvement; 3 = Meets Standard; 4 = Exceeds Standard; 5 = Substantially Exceeds Standard.

In the Performance of Job Functions column, please specifically explain or justify the rating level for that function. This explanation is particularly important when a rating of less than “Meets Standard” is given.
The following definitions for the rating scale are provided as a general guideline:

1 = Unacceptable - The performance is consistently below work expectations, requirements, or standards; immediate action by the employee to improve performance is required. Performance at this level could result in disciplinary action or non-retention.

2 = Needs Improvement - The performance does not fully meet work expectations, requirements or standards or performance is inconsistent; the employee must improve efforts to meet work standards. Continued performance at this level could result in disciplinary action or non-retention.

3 = Meets Standard - The performance consistently meets work expectations, requirements, or standards. Employee’s accomplishments and efforts are at a level which quality performance is expected. This rating reflects a determination that the employee makes a solid, positive contribution to the department.

4 = Exceeds Standard - The performance consistently meets, but regularly exceeds, work expectations, requirements, or standards; shows initiative in additional achievements.

5 = Substantially Exceeds Standard - This rating is reserved for the highest level of performance. The performance substantially and consistently exceeds work expectations, requirements, or standards; employee has a consistent record of achievements during the evaluation period which render a significant service to the university.

Additional Factors for Employees with Lead or Supervisory Responsibilities

While all employees are responsible for observing general safety requirements, supporting commitments to equal employment opportunity and performing in a manner which promotes customer service, employees with lead or supervisory responsibilities are to be specifically evaluated for their efforts to create a working environment which supports and promotes these factors.

1. Promotes observance of general safety requirements and standards. Ensures employees have appropriate safety training; educates employees on safe work practices and takes corrective action when violations occur; identifies unsafe work conditions and takes prompt remedial action; instructs employees on proper procedures for reporting injuries; investigates all accidents; completes all accident reports in a timely manner; and models safe work behaviors.

2. Supports and implements established commitments to equal employment opportunity and diversity. Demonstrates commitment in promoting equity and opportunity to all employees. Acknowledges and supports the need for diversity.

3. Creates a climate which promotes customer service, collaboration, and teamwork. Embraces the concepts of continuous quality improvement; promotes a customer service orientation; seeks opportunities to improve work processes; encourages employee participation in the improvement efforts; empowers employees to be part of the decision-making process; fosters teamwork and cooperation in their work area.
Overall Evaluation

The overall evaluation should represent a summary of the ratings for the job functions and should be consistent with these ratings. In assigning an overall evaluation, consideration should be given to the importance or critical nature of each job function and/or the percentage of the employee’s overall duties which the job function represents.

PERFORMANCE APPRAISAL MEETING

The performance appraisal meeting is a critical component of the evaluative process. The meeting provides the supervisor and employee with an opportunity to engage in an open and constructive discussion regarding the employee’s job performance, accomplishments, areas of needed improvement, training and development, and future performance goals and expectations.

It is recommended that the supervisor provide the employee with a draft of the performance appraisal prior to the meeting. During the meeting, the supervisor should solicit the employee’s comments and suggestions and create an atmosphere in which the employee is encouraged to speak candidly and reply to criticisms or suggestions offered by the supervisor.

PERFORMANCE APPRAISAL PROCESS

There are several steps in the evaluation cycle, which involve the employee, supervisor, department head, program manager, and Human Resources.

Step 1 ➔ Human Resources generates the Staff Performance Appraisal (HR 138 Form) in accordance with the employee’s probationary evaluation cycle or notifies the program area through the annual performance evaluation cycle process.

Step 2 ➔ Staff Employees are encouraged to utilize the Staff Employee Self-Evaluation (HR 138a Form) to cite specific accomplishments and provide other relevant information.

Step 3 ➔ Each supervisor completes a Staff Performance Appraisal (HR 138 Form) for staff employees he/she supervises directly.

Step 4 ➔ The supervisor and employee meet to discuss the performance appraisal. Prior to signing the form, the employee may include a written response.

Step 5 ➔ The Staff Performance Appraisal Form is forwarded to the department head and program manager for review, comment, and signature.

Step 6 ➔ The Staff Performance Appraisal Form is provided to the employee for final review and comment and final submission to the immediate supervisor. A copy of the completed Performance Appraisal Form is given to the employee.

Step 7 ➔ The Staff Performance Appraisal Form and Staff Employee Self-Evaluation Form (if completed) are sent to Human Resources for processing and are placed in the employee’s permanent personnel file.