

*Performance Programs &
Performance Evaluations for Professional
Employees*



Presentation Goals

This training is designed to help supervisors of UUP-represented employees and UUP employees to better understand:

The Performance Program

- Definition and Purpose
- Timing
 - When to write a Performance Program, and when to revise it
- What to include – key elements
 - Roles and responsibilities
 - SMART objectives
 - Secondary sources, supervisory relationships, functional relationships
 - Reviewing, signing, and filing



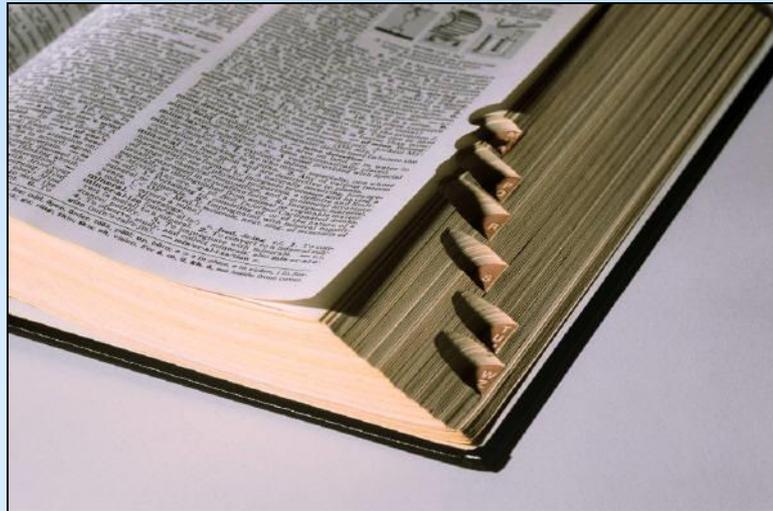
The Performance Evaluation

- Purpose
- Criteria
- What to include
 - No surprises!
- Unsatisfactory evaluations and the appeal process

The Performance Program

Definition:

A document that sets forth the duties, responsibilities and objectives assigned to an employee.



The Performance Program

Purpose:

- Provides the employee with a road map of what he/she is expected to do during the course of a year
- Sets the criteria upon which to evaluate the employee
- Serves as a guide to re-evaluate job functions



*The Agreement between the State of New York
and UUP requires that: (1 of 2)*

Professional employees must have their performance evaluated by their immediate supervisor formally, in writing, once each year (but not in an employee's final year at the University following a non-renewal).



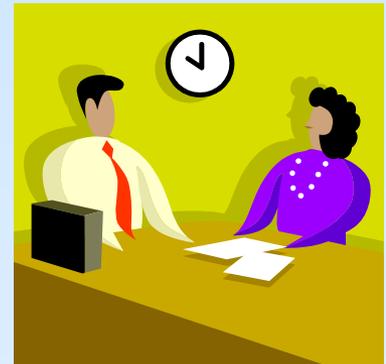
*The Agreement between the State of New York
and UUP requires that: (2 of 2)*

- Such evaluations will be based on a performance program determined by the immediate supervisor after consultation with the employee, a copy of which shall be given to the employee.
- Performance shall be characterized, in summary, as either satisfactory or unsatisfactory. An employee who receives an unsatisfactory written evaluation may seek review by the CCPE*.

**College Committee on Professional Evaluation*

The Performance Program: Timing and Process

- The immediate supervisor of a new professional employee shall consult with the employee concerning a performance program and the system of evaluation **within the first month** of the initial appointment.
- The performance program shall be established **within 15 working days from the date of the consultation.**
- The written Performance Program is **signed and dated** by the employee and the supervisor.
- Copies are distributed to the employee, the supervisor, and the employee's personnel file.



The Performance Program Should Include:

- Duties and responsibilities
- Immediate and long-term “SMART” objectives
- Secondary sources
- Sources and methods of evaluation
- Critical job functions, level of expectation and criteria for evaluating achievement objectives
- Supervisory relationships, including who the employee reports to
- Functional relationships





“SMART” Objectives



SMART Objectives:

- Specific – Make the objective as specific as possible. Say exactly **what** you want to achieve in clear, concise words. Describe the goal in observable behavior.
- Measurable – Indicate **how** you will know the goal has been met (quantity, frequency, etc.). How many, how often, to how many people?
- Attainable – The goal should be **feasible** in terms of the resources available to the employee (experience, knowledge, capability).
- Relevant – Does it make sense in relation to the overall goals and strategy of the department or organization? Why should this objective be done? Is it relevant given current conditions?
- Time-bound – There should be a timeframe or timing related to the objective (e.g., “within three months,” “weekly,” “by the end of January”).



Exercise - SMART Objectives

“SMART” Objectives - Examples

What could you add to make the following SMART-er?

- Keep track of counseling sessions
- Keep department web page updated
- Send out welcome packets to students

“SMART” Objectives - Examples

Keep track of counseling sessions.

- Maintain records of all counseling sessions, including student name, date of session, and follow-up notes, in chronological order.
- Use on-line tracking system to submit a weekly log of student contact.

Keep department webpage updated.

- Solicit updates and new material for department webpage from department managers on the first Friday of each month. Publish the new material by the following Friday. Each time material is published, review the site for material that is outdated and delete or archive that material.

Send out welcome letters to new students.

- Produce and distribute personalized welcome letters, error-free, to all new students in our department by the second week of the semester.

Secondary Sources

- The immediate supervisor, after consultation with the employee, shall identify in the performance program the Secondary Sources to be consulted as part of the evaluation process and the relationship between each Secondary Source and the employee.
- Secondary Sources are agencies, offices, departments or individuals which will be involved with the performance of the employee and may affect the employee's ability to achieve the objectives stated in the performance program.
- Secondary Sources **MUST be listed** on the performance program if they are to be consulted in the performance evaluation process.

The Performance Program: Supervisor Do's

- **Do** include statements about duties which are specific.
- **Do** include objectives which can be clearly understood.
- **Do** ensure the employee has the authority to carry out the objectives you are including.



Remember!

- A performance program covers a 12-month period but **may be amended as circumstances warrant**.
- If an employee is assigned to do something new, you may need to amend the performance program.
- A performance program must relate to the duties the employee actually performs.
- A performance program does not need to match the contract dates.

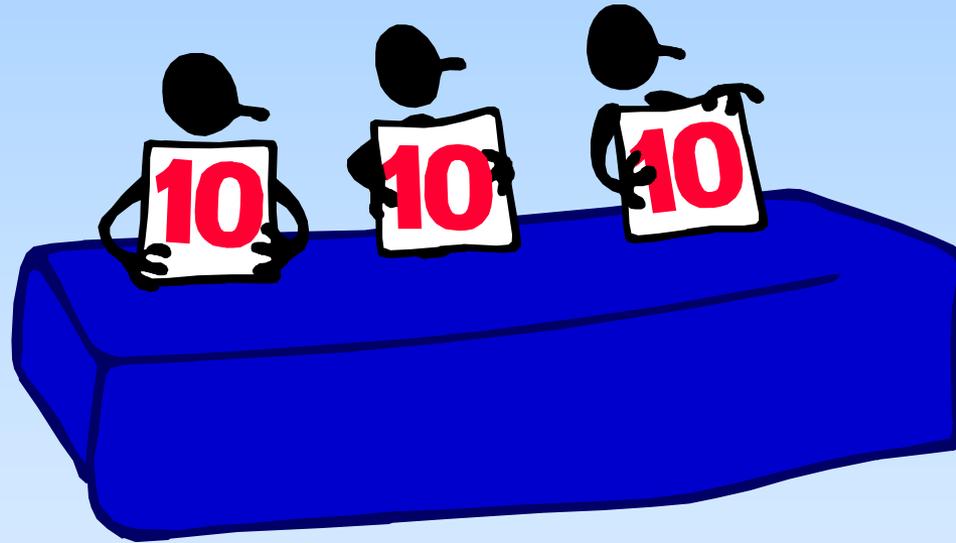


Remember!

- If there is a change in supervisors, the performance program should be updated to reflect the change.
- Revised/amended performance programs should be signed (by supervisor and employee) and placed in the employee's personnel file.
- If the employee does not concur with something in the performance program, he/she has the right to file an attachment to it within 10 working days of receipt.
 - A copy of the attachment is placed in the employee's official personnel file.



Things That Every Professional Should Know About the Performance Evaluation Process...



The Performance Evaluation

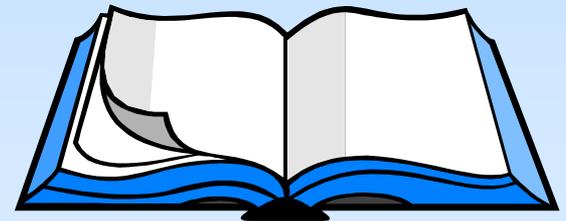
- Appendix A-28 to *the Agreement* notes that evaluation is a continuing process carried out on a daily basis.
 - It is best practice for supervisors to evaluate employees **on an ongoing basis and provide regular feedback and coaching**. There should be no surprises when the formal evaluation is presented!
- A **formal** evaluation should be the expression of this ongoing process.
 - Performance of each professional employee shall be formally evaluated in writing by the immediate supervisor once each year.

The Purpose of the Performance Evaluation

- 1) Provide the employer with consultation in making a decision to renew or not renew an employee's term appointment.
- 2) Provide a basis for performance improvement.
- 3) Serve as a guide to reevaluate job functions.
- 4) Provide the employer with consultation in a decision as to promotions and discretionary salary increases.
- 5) Provide a basis for career growth.

Employees are evaluated, when applicable, on the five criteria established by the New York State-UUP Agreement and the SUNY Board of Trustees:

- 1) Effectiveness in performance
- 2) Mastery of specialization
- 3) Professional ability
- 4) Effectiveness in University service
- 5) Continuing growth



July 2, 2011 - July 1, 2016

UUP Contract

Components of the Performance Evaluation

- Performance Program
- Secondary Source Feedback
- Supervisor's Assessment

Preparing for the Performance Evaluation



- Over the course of the year, keep notes tracking the employee's:
 - Important accomplishments
 - Training
 - Conference attendance/participation
 - Committee involvement, etc.
- Keep a “pat on the back” file of letters acknowledging the employee's professional accomplishments.
- Get feedback (a written summary) from the employee regarding their year's accomplishments at the time of evaluation.

Preparing for the Performance Evaluation

- Draft the Performance Evaluation.
- Check the preliminary evaluation for accuracy.
- Make any necessary changes.



Remember!

- Supervisors should not evaluate employees on items not contained in their performance programs.
- The performance evaluation **should not contain any surprises.**
- The evaluation must include a summary rating of either “Satisfactory” or “Unsatisfactory.”
 - The evaluation should be consistent with the summary rating of either “Satisfactory” or “Unsatisfactory”.

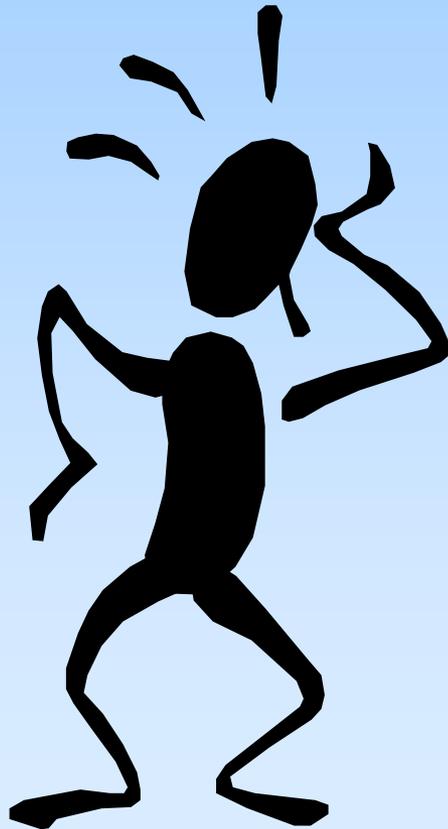


Reviewing the Performance Evaluation



- Discuss the evaluation with the employee.
- Following the discussion, both the supervisor and the employee should **sign and date** the evaluation.
- The original document **is placed in the employee's personnel file**, and the supervisor and the employee should each keep a copy.
- Remember to affirm or update the current performance program and discuss any changes.

Oops! Something is Wrong in the Land of Performance Evaluation...



Unsatisfactory Evaluations



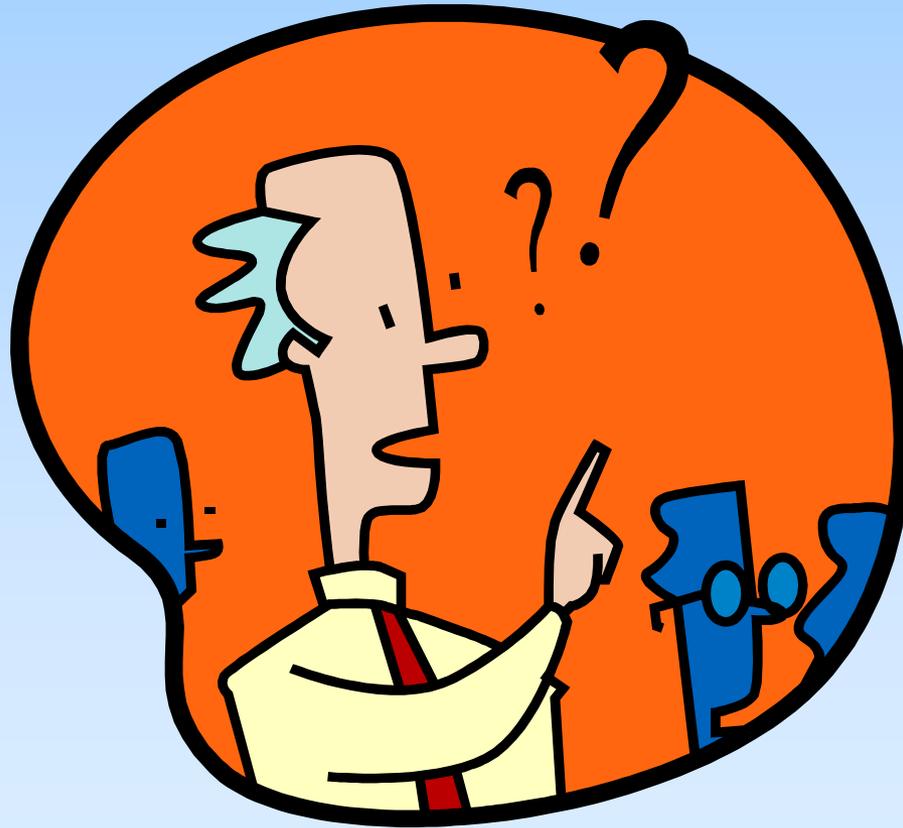
- If an employee disagrees with something in the evaluation, they are entitled to write a response, which is placed in their official personnel file.
 - Not time-sensitive; stems from Article 31
- If the evaluation has an overall rating of “Unsatisfactory,” the employee has the right to appeal to the College Committee on Professional Evaluation (CCPE).
 - They have 10 working days (from the date of the evaluation) to appeal.

CCPE: College Committee on Professional Evaluation

- 5-member panel = 3 UUP + 2 Mgmt.
- Reviews both procedure and substance.
- Has access to all previous evaluations.
- May interview relevant sources.
- Makes a non-binding recommendation to the president.

If the evaluation is changed, the original must be destroyed and a revised evaluation is placed in the employee's personnel file.

Questions and Answers



Thank You!

