Evaluating APT Employees

October 2009

APT Performance Evaluations

• Create expectations and complete evaluations on-line:
  – https://www.pers.hawaii.edu/hrin/pes/

• Intent: facilitate and promote communication between employee and supervisor

• Standardized evaluation period:
  – November 1 - October 31
APT Performance Evaluations (Cont.)

• Three (3) categories to rate
  – Competency
  – Quality
  – Productivity

• Three (3) levels of performance
  – Exceptional
  – Meets
  – Does Not Meet

Performance Factors

• Factors to consider when evaluating employees
  – Problem Solving & Decision Making
  – Planning, Organizing & Implementing Tasks or Projects
  – Dependability
  – Cooperation
  – Effort & Initiative
  – Communication Skills
  – Interpersonal Relations
### Evaluation Time Periods

- **Initial Probationary Period is 3 Years**
  - Evaluation "on or before” 12th month
  - Evaluation “on or before” 24th month
  - Evaluation “on or before” 36th month

- **Employee with Employment Security**
  - Evaluation every year

- **Employee who Accepts another APT Position**
  - New Probationary Period is 6 months
  - Evaluation "on or before" 6th month
  - May be extended an additional 6 months

### References

- BORP Chapter 9, Section 9-15
- Executive Policy E9.203
- Admin Procedure A9.170
- Articles 9 & 10 of the BU 8 CB Agreement
Process

• Beginning
  – Develop Performance Expectations

• Middle
  – Coach/mentor employee
  – Provide feedback

• End
  – Evaluate employee
  – Conduct a summary meeting

Phase 1: Creating Expectations
Create Performance Expectations: A Five Step Process

• Step 1 – Review position description
• Step 2 – Create measures for essential/critical responsibilities
• Step 3 – Review measures together
• Step 4 – Create performance expectations (generally 3 or more, as deemed appropriate) that incorporate measures identified in Step 2
• Step 5 – Joint sign-off; employee agreement is not required

Review Position Description

• Review essential functions of the position
• Review program functions and priorities
• Consider specific essential/critical assignments and functions
Key Components of Expectations

• An “Action Verb”
• An appropriate “Outcome or Product”
• An appropriate statement of the “Quality and/or Frequency” standard to be applied to determine if an expectation is satisfied

Create Expectations

• Things to consider
  – Consistent with & supportive of unit mission, goals & objective
  – Focus on achievement of critical task & assignment
  – Identify important job responsibility
  – Specific - state end results & time expected
  – Provide for measurable & verifiable results
  – Realistically attainable
  – Achievement within control of employee
Develop Expectations

• Two (2) methods to create expectations in the Performance Evaluation System
  – Enter expectation statement in text box
    • Key stroke or cut and paste from a word processing application
  – Use the Performance Expectation Generator

Performance Expectation Generator

• Facilitates the creation of expectations
• Select one item from each of the 4 screens of the Performance Expectation Generator to create a “preliminary” performance expectation
  – Supplement the “preliminary” performance expectation with additional details to create a refined performance expectation.
### Performance Expectation Matrix

<table>
<thead>
<tr>
<th>Action</th>
<th>Outcome</th>
<th>Quality and/or Frequency Standard to be Applied to Determine if an Expectation is Satisfied</th>
</tr>
</thead>
<tbody>
<tr>
<td>Administer</td>
<td>Budget</td>
<td><strong>%</strong> complete of total decrease of <strong>(e.g.)</strong> by <strong>(%)</strong> as measured from a base _____ from a base of _____</td>
</tr>
<tr>
<td>Allocate</td>
<td>Contract</td>
<td>Quality to be measured by ____ or using standard of ______ to satisfy with a ___% or $) __ reduction in resources required using ____ as the base or starting point to satisfy expectation</td>
</tr>
<tr>
<td>Assign</td>
<td>Compliance</td>
<td>By <strong>(date)</strong></td>
</tr>
<tr>
<td>Audit</td>
<td>Curriculum</td>
<td>Daily</td>
</tr>
<tr>
<td>Conceive</td>
<td>Database</td>
<td>Weekly</td>
</tr>
<tr>
<td>Draft</td>
<td>Document</td>
<td>Monthly</td>
</tr>
<tr>
<td>Initiate</td>
<td>Facilities</td>
<td>Upon request within _____ days</td>
</tr>
<tr>
<td>Investigate</td>
<td>Guidelines</td>
<td></td>
</tr>
<tr>
<td>Lead</td>
<td>Plan</td>
<td></td>
</tr>
<tr>
<td>Negotiate</td>
<td>Proposal</td>
<td></td>
</tr>
<tr>
<td>Monitor</td>
<td>Report</td>
<td></td>
</tr>
<tr>
<td>Organize</td>
<td>Rule</td>
<td></td>
</tr>
<tr>
<td>Recommend</td>
<td>Strategies</td>
<td></td>
</tr>
<tr>
<td>Research</td>
<td>Study</td>
<td></td>
</tr>
<tr>
<td>Solicit</td>
<td>Work Teams</td>
<td></td>
</tr>
<tr>
<td>Train</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Write</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Example of Expectation

- **“Preliminary” performance expectation**
  - “Prepare . . . administrative procedure . . . in draft form to satisfy expectation . . . by (date).”

- **“Refined” performance expectation**
  - “Prepare in draft form an administrative procedures relating to recruitment and selection of BOR personnel by March 1, 2010 to satisfy performance expectation.”
Review Expectations

• Supervisor meets with employee to discuss performance expectations
  – On behalf of the employer, the supervisor has authority to establish expectations that are:
    • Job Related
    • Reasonable

• Supervisor and employee should strive for agreement on expectations
  – An employee need not agree but must comply

Discuss Employee Growth Plan

• Discuss how current expectations may be expanded in future evaluations or result in other more challenging expectations

• Discuss where the employee may want to pursue development during the evaluation period
Signatures

- Once supervisor and employee discuss performance expectations, supervisor signs-off (electronic acknowledgement) on performance expectations as discussed
- Automatic computer generated email notification sent to employee that performance expectations have been created
- Employee has 7 calendar days from date of email to acknowledge expectations
- Employee may acknowledge discussion and notice of performance expectations and measures via electronic acknowledgement; no agreement required

Using the On-Line Performance Evaluation System
Options Screen

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Performance Evaluation System

Performance Evaluation

- Create/Acknowledge Performance Expectations
  For supervisors to document performance expectations of an employee.
  For employees to view, respond for identification, and acknowledge expectations.

- Create/Acknowledge Feedback
  For supervisors to document feedback of performance during the evaluation period.
  For employees to view, respond, and acknowledge feedback.

- Complete/Acknowledge Performance Evaluation
  For supervisors to complete employee performance evaluation.
  For employees to view comments and acknowledge the evaluation.

Related Links
- APT Broadband Home
- PES On-line Training
- Supervisor Tutorials
- Employee Tutorials

Click first option to begin the process to create expectations.

Position Listing

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Performance Expectations: Position Listing
Click on the appropriate button below.

Employee Record (shaded)

Subordinate Record

Click “Create Exp” on employee expectations being created for.
Review Official Duties & Responsibilities

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Option 1 - Enter Expectations in Text Box

Option 1 -- Enter Expectations in Text Box

Key stroke or cut and paste the expectation from a word processing application.
Option 2 - Use Performance Expectation Generator to Create Expectations

Sample of one of four screens in the Performance Expectation Generator. Supervisor selects a “word” from each screen to create a “preliminary” expectation which can then be modified.
Associate Expectations

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Performance Evaluation System

Duties and Responsibilities

Create Expectations

Preview of Expectations

Saved expectations below text box

Expectations Saved Below Text Box

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Performance Evaluation System

Duties and Responsibilities

Create Expectations

Preview of Expectations

Saved expectations

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Certify Date of Meeting

Enter date of meeting expectations discussed with employee and check certification block.

Performance Expectations

Supervisor: Click to add and/or clarify expectations

Employee: Click to acknowledge expectations and/or provide comments
Employee Acknowledgement of Expectations

Position No: TITITITITIL, Information Technology

ACKNOWLEDGE/REQUEST CLARIFICATION

- To request clarification, enter your comments below and click "Continue".
- If you are merely acknowledging receipt, check the "No Comments" box, and click "Continue".

No Comments

Certification Statement for: 7654321, Test Title

Please certify the statement below by checking the box and clicking "Submit".

I acknowledge that these expectations and any attachments have been verbally discussed and reviewed with me and that I have been provided the opportunity to attach any comments. I understand that my certification only acknowledges receipt of the expectations.

Submit
Phase 2: Work Performance Feedback

Monitor Performance

• Monitor employee performance carefully throughout the year
  – Reinforce positive behavior
    • State the specific action you are complimenting
    • Compliment immediately and sincerely
    • Don’t follow a compliment with a correction
    • Record behavior in system as feedback
  – For special recognition, write a commendation
    • Only for noteworthy behavior
    • State the specific behavior
    • Send the commendation to the official personnel file with a copy to the employee
Monitor Performance (Cont.)

– Immediately correct performance problems
  • Describe the specific action or behavior – focus on the performance, not the performer
  • Explain the effects of the behavior – show how the negative behavior is affecting you, the job, or the organization
  • Provide constructive feedback with improvement suggestions
  • Record behavior in system as feedback

Options Screen

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Performance Evaluation System

Performance Evaluation System - Options

- Create/Acknowledge Performance Expectations
  For supervisors to document performance expectations of an employee.
  For employee to view, respond, or acknowledge expectations.
- Create/Acknowledge Feedback
  For supervisors to document feedback of performance during the evaluation period.
  For employee to view, respond, or acknowledge feedback.
- Complete/Acknowledge Performance Evaluation
  For supervisor to rate employee for the evaluation period.
  For employee to view, comment, and/or acknowledge the evaluation.

Click second option to begin the feedback process.
Supervisor Work Performance Feedback

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Main Menu

Sections
Create Expectations
Create Evaluation
View Progress
Logout or System

Related Links
APT Broadband Home
PES On-line Training
Supervisor Tutorials
Employee Tutorials

Performance Feedback: Position Listing
Click on the appropriate button below.

Employee | Status | Action
---|---|---
Test Position #1 | Test Title |
Test Position #1 | Test Title |

Click on “Feedback” to begin process

Keystroke work performance observation
Employee Acknowledgement of Work
Performance Feedback

University of Hawaii
Performance Evaluation System

Main Menu

Sections
Create Expectations
Create Feedback
Create Evaluation
View Progress
Leg-out of System

Related Links
APT Broadcast Home
PE On-Line Training
Supervisor Tutorials
Employee Tutorials

Performance Feedback: Position Listing
Click on the appropriate button below.

Employee
Performance Position # 7054321
Test Title

Status
Employee: Prol. Prog

Action
View Fdbk
Ack Fdbk

Click “Ack Fdbk” to begin process

Employee Acknowledgement of Work
Performance Feedback

University of Hawaii
Performance Evaluation System

Action
Feedback
Navigation
Main Menu
Feedback List
Log-out of System

Related Links
APT Broadcast Home
PE On-Line Training
Supervisor Tutorials
Employee Tutorials

FEEDBACK: (achievements, areas for improvement, general feedback)
- To provide feedback, enter text in the box below, scroll down and click “Submit”.
I have no comments.

Thank you for providing such a great work environment!

Feedback Review:
- Supervisor: 11/3/2016 12:03:31 PM; The employee for 7054321 has done wonderful work up to this point.

Keystroke comments on supervisor’s feedback
Phase 3: Performance Evaluation
Complete the Evaluation

• Prior to the end of the rating period, supervisor assesses job performance in context of expectations
  – Have meaningful discussion with subordinate
  – Determine if expectations met, not met or exceeded
  – Discuss assessment with employee

What If Rating = “Does Not Meet”

• Prior to effectuating a formal rating of “Does Not Meet,” supervisor is expected to have:
  – reviewed the performance expectations
  – monitored the work performance during the evaluation period
  – provided training as necessary
  – provided feedback to employee on areas for improvement
Rating of “Does Not Meet”

- Supervisor informs and discusses performance with Dean/Director prior to meeting with employee
- Completes evaluation on-line and discusses performance with employee

New APT Position

- For employee with or without employment security who accepts another APT position
  - New probationary period is 6 months
  - Probationary period may be extended an additional 6 months
    - Employee shall be provided with reasons for extension
- Employee without employment security must still satisfactorily complete the 3 years initial probationary period required for employment security
Same APT Position

• For employee with employment security whose performance does not meet expectations
  – Placed on a 6 months improvement period to improve performance to a level that meets expectations
    • Employee shall be provided with reasons for extension
  – If progress towards improvement is being made, improvement period may be extended for an additional 3 months
    • Employee notified in writing of 3-month extension
  – If performance does not improve, employer shall initiate appropriate action

6-Month Improvement Period

• Employee notified in writing of 6-months improvement period
  – the duration (beginning and end dates) of the 6-month improvement period
  – specific areas in which performance does not meet expectations
  – plan of action to improve performance to the level that "meets" performance expectations
  – any assistance to be provided, e.g., remedial training
  – feedback process
3-Year Initial Probationary Period

• For employee without employment security
  – If performance “Does Not Meet,” employer shall initiate appropriate action

Options Screen

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Performance Evaluation System

Performance Evaluation System - Options

- Create/Acknowledge Performance Expectations
  For supervisor to document performance expectations of an employee. For employees to draft, view, review for clarification, and/or acknowledge expectations.

- Create/Acknowledge Feedback
  For supervisor to document feedback of performance during the evaluation period. For employees to view, respond and/or acknowledge feedback.

- Complete/Acknowledge Performance Evaluation
  For supervisor to rate employee(s) during the evaluation period. For employees to view, comment and/or acknowledge the evaluation.

Click third option to begin the evaluation process.
Position Listing

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Performance Evaluation: Position Listing
Click on the appropriate button below.

<table>
<thead>
<tr>
<th>Employee</th>
<th>Status</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Test Position #1 769021</td>
<td>Eval: Cmpl</td>
<td>Exit: Ptdg.</td>
</tr>
<tr>
<td>Test Position #1 1234567</td>
<td>Eval: Cmpl</td>
<td>Evaluate</td>
</tr>
</tbody>
</table>

Click “Evaluate” to begin evaluation of employee’s performance

Evaluation Period and Type

Indicate rating period and type of rating
### Rating Categories

#### Performance Evaluation

<table>
<thead>
<tr>
<th>Expectations</th>
<th>Performance Categories: Indicate rating of employee (Rate the employee on all 3 Performance Categories)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

#### Supervisor Performance Evaluation

Overall Performance Rating reflects the lowest rating selected (i.e. Exceptional rating in the Competency and Quality category and Meets rating for Productivity, Overall Performance Rating is Meets)

Indicate rating of employee
Performance Evaluation Form

Sample of completed Performance Evaluation

Certification Statement

Indicate date of discussion with subordinate
Employee Acknowledgement of Evaluation

Click “Ack Eval” to acknowledge evaluation and/or provide comments.

Keystroke request for clarification or check the “No Comments” box and click “Continue” to acknowledge receipt.
Employee Acknowledgement of Evaluation

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Performance Evaluation System

<table>
<thead>
<tr>
<th>Part</th>
<th>Expectations</th>
<th>Certification Statement for 7656211 Test Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acknowledge Evaluation</td>
<td></td>
<td>Please certify the statement below by &quot;checking&quot; the box and clicking &quot;submit.&quot;</td>
</tr>
<tr>
<td>Submit Eval Acknowledgement</td>
<td></td>
<td>I acknowledge that this evaluation and any attachments have been verbally discussed and reviewed with me and that I have been provided the opportunity to attach my own remarks. I understand that my certification only acknowledges receipt of the evaluation.</td>
</tr>
</tbody>
</table>

Why Bother?

- It’s a requirement, A9.170, Performance Evaluation of APT Personnel
- A systematic means of providing feedback - positive and need for improvement
- Documents the basis for providing Special Compensation for exceptional performance and/or substantial professional growth within the job
Flow Chart - On-line Systems

PD Generator

Performance Evaluation System

Expectations

Evaluation

Special Compensation Nomination

“Manager’s Edge” - 7 Costly Evaluation Errors

1) Basing evaluations on personal opinion
2) Not identifying causes of poor performance
3) Not setting performance goals
4) Omitting tactics to reach goals
5) Skewing everyone’s rating high to curry favor
6) Discussing pay, promotions during evaluations
7) Failing to record evaluations