Prepared by Office of Human Resources. This replaces Administrative Procedures A9.170 dated October 1997.

April 2002

BOR PERSONNEL

A9.170 PERFORMANCE EVALUATION OF ADMINISTRATIVE, PROFESSIONAL, AND TECHNICAL (APT) PERSONNEL

1. Purpose

To implement Board of Regents' Policy, Evaluation of Board of Regents Appointees, Section 9-15, and Executive Policy E9.203, Evaluation of Board of Regents' Appointees. The purpose of the Performance Evaluation is to give both the supervisor and the employee the opportunity to review and discuss performance expectations and actual performance as identified on the performance evaluation form. Performance evaluation is a continuous process which benefits both the employee and the University.

2. Objectives

- To develop on a systemwide basis a uniform and consistent employee performance evaluation program for APT employees;
- b. To facilitate supervisor-employee discussions relative to employee work performance and to accomplish this in a supportive climate;
- c. To document information that may be used for determination of employment status, e.g., passing probation and acquiring employment security.
- d. To provide the mechanism to recognize and document performance awards for exceptional work performance; and
- e. To establish a standard evaluation period for all APT employees.

3. Applicability/Responsibility

- a. This evaluation process is intended to apply to all APT personnel appointed by the Board of Regents.
- b. The Chief Executive Campus Officer or Official Designee shall be responsible for implementation of the performance evaluation process within the respective jurisdictions.
- c. Immediate supervisors shall be required to evaluate the individual work performance of APT personnel under their supervision in accordance with the guidelines set forth below.
- d. Supervisors are expected to fulfill their responsibility to complete performance evaluation for each Administrative, Professional or Technical subordinate. Failure to fulfill this supervisory responsibility may result in appropriate corrective action.
- 4. References
 - a. Board of Regents' Policy, Section 9-15, Evaluation of Board of Regents' Appointees.
 - Executive Policy E9.203, Evaluation of Board of Regents' Appointees.
 - c. Article 9 Employment Security and Article 10, F -Employment Rights of the Unit 08 Collective Bargaining Agreement.

5. Principles

 a. It is important to encourage and facilitate supervisor subordinate discussions relative to employee work performance and to accomplish this in a supportive climate. Timely and meaningful discussion between supervisor and subordinate is a necessary part of the evaluation process. Electronic communications should not be substituted for face-to-face discussions between supervisor and subordinate.

- b. Supervisors are encouraged to conduct periodic discussions on performance expectations and results and to provide positive reinforcement and recognition of outstanding achievements, as well as to constructively discuss any needed performance changes to meet performance expectations and support the University's mission.
- c. Employees are encouraged to discuss the areas of potential growth, skills enhancement, and opportunities to further engender job satisfaction, career development and successful performance.

6. Procedures

Formal performance evaluations shall be conducted in accordance with the following:

- a. Evaluation Periods
 - 1) Standard Evaluation Period

The standard evaluation period for all APTs shall be November 1 to October 31. Evaluations of all APT employees shall be in conformance with the standard evaluation period with exceptions for evaluations arising from the completion of a probationary period or partial evaluations that do not conform with the standard evaluation period.

Note: In conjunction with the initial implementation of this revised Administrative Procedure, a shortened rating period shall be from a date determined and announced systemwide by the System Director of Human Resources to October 31.

 Initial Probationary Employee Without Employment Security An initial probationary employee shall receive three evaluations during the probationary period:

- a) On or before the end of the twelfth month of service following the initial appointment (covers 1st through 12th month),
- b) On or before the end of the twenty-fourth month of service following the initial appointment (covers 13th through 24th month), and
- c) On or before the end of the thirty-sixth month of service following the initial appointment (covers 25th through 36th month).

Example:

If an individual is initially appointed on 4/1/94, the three-year probationary period will be through 3/31/97. The employee shall be evaluated on or before 3/31/95, 3/31/96 and 3/31/97, respectively.

3) Employee With Employment Security

After an employee has gained employment security in accordance with Article 9 - Employment Rights, Unit 08 collective bargaining agreement, the performance evaluation shall be conducted annually on or before the end of the standard evaluation period.

- 4) Employee Who Accepts Another APT Position
 - (a) An employee with or without employment security who accepts another APT position shall be on probationary status for six (6) months which may be extended an additional six (6) months by the employer, in

accordance with Article 9 - Employment Rights of the Unit 08 collective bargaining agreement.

- (1) The employee shall be evaluated on or before the expiration of the six (6) months probationary period.
- (2) If the six (6) months probation is extended, the employee shall be given the reasons for the extension and the evaluation shall be conducted on or before the expiration of the extended probationary period.
- (b) An employee without employment security who accepts a new APT position during the employee's initial probationary period must still satisfactorily complete the three (3) years initial probationary period required for employment security.
 - (1) The six (6) months probationary period for a new APT position shall be concurrent and may overlap with the three (3) years initial probationary period but does not serve to extend the three (3) years initial probationary period.
 - (2) An employee who accepts a new APT position shall be evaluated on or before the end of the employee's initial probationary period in addition to being evaluated prior to the end of the new six (6) months probationary period.
- (c) An overall rating of "Does Not Meet" during the employee's six (6) months new probationary period may adversely affect the three (3) year initial probationary rating for employment security.

5) Employee Whose Performance Does Not Meet Performance Expectations

> Whenever an employee's overall performance does not meet performance expectations, it is the responsibility and expectation of supervisors to complete a formal evaluation in accordance with the APT Electronic Evaluation Process for APT Personnel (Attachment 1). However, the supervisor shall inform and discuss the employee's performance with the appropriate Dean, Provost, Director, or designee before finalizing and discussing the formal performance evaluation with the employee, in accordance with procedures set forth herein.

6) Partial Performance Evaluations

When an employee leaves the position prior to the completion of a scheduled evaluation (e.g., initial probationary period, annual review or probationary period upon acceptance of a new APT position), it is the responsibility of the supervisor to complete a partial performance evaluation for the employee to evaluate performance for the period up to the employee's separation from the position. It is not necessary for a partial performance evaluation to be completed if an evaluation was completed no more than six (6) months prior to the date of separation from the job.

b. Official Evaluation Form

The electronic version of the APT Employee Performance Evaluation Form (APT EPE Form, Attachment 2) depicts the information generated by the University on-line evaluation system for APT personnel. The electronic version of the APT Evaluation Performance Form shall be used for performance evaluations and shall be the official documented evaluation form. Use of this form does not abrogate the need for face-to-face discussions between the supervisor and employee.

c. Review of Position Description and Performance Expectations

Prior to or at the beginning of the evaluation period, the supervisor shall meet with the employee to review the official position description, work assignments, and discuss the supervisor's expectations for the evaluation period. If the employee believes that the performance expectations established by the supervisor are not consistent with the work assignments and position description, the employee may request that the performance expectations be reviewed for appropriateness by an appropriate level of authority above that of the immediate supervisor. When significant changes in duties and responsibilities occur, the supervisor will initiate revisions to the position description in accordance with Administrative Procedures A9.210 Classification and Compensation Plan for Administrative, Professional and Technical Personnel.

The employee's official position description shall be reviewed for currency and accuracy. If a redescription of the position is necessary, such shall be submitted in accordance with Administrative Procedures A9.210 Classification and Compensation Plan for Administrative, Professional and Technical Personnel. The position description received by Office of Human Resources (OHR) shall be deemed the official position description.

In the event that the employee's duties and responsibilities significantly change at any time during the evaluation period, good management practice requires supervisors to discuss with the employee those significant changes in duties and responsibilities, work assignments, and performance expectations that will affect the performance evaluation. In addition, the supervisor should provide appropriate training and time for the employee to adjust to the changes in assigned duties as determined by the supervisor.

- d. Completed Evaluations
 - 1) The immediate supervisor shall discuss the evaluation, including any attachments, with the employee. The employee shall be offered the opportunity to electronically sign (submit an electronic acknowledgment using the employee's personal UserID) the evaluation form to indicate that the evaluation has been discussed with the employee, and that the employee was provided an opportunity to attach explanatory remarks. The employee's electronic signature does not necessarily mean that the employee agrees with the evaluation; nor is the employee required to sign.
 - 2) After completion, the evaluation form with any attachments shall be filed in the employee's official personnel file. One copy with any attachments, if applicable, shall be provided to the employee.
- e. Performance Ratings
 - 1. Evaluations for the standard evaluation period shall be the basis for a supervisor's recommendation of a performance award and/or ingrade adjustment. Recommendations for a performance award and/or in-grade adjustment for continuous periods of service other than the standard evaluation period and that may involve one or more partial evaluations may be approved provided that the evaluation period is deemed by the University to be essentially equivalent to the standard evaluation period when other eligibility criteria for a performance award are satisfied.
 - 2) Employee's Performance Exceeds Performance Expectations

When an employee's work performance is rated exceptional, the immediate supervisor may nominate the employee to receive a performance award in accordance with procedures set forth below. An APT EPE Form shall be completed. Any comments and/or feedback from the evaluation are to be discussed by the supervisor with the employee.

3) Employee's Performance Meets Performance Expectations

> When an employee's overall performance meets performance expectations, complete an APT EPE Form and discuss any feedback from the evaluation with the employee. If the employee's overall performance rating is "meets expectations," and a program, if it deems it appropriate, may nominate the employee for an adjustment subject to satisfaction of eligibility criteria as specified in A9.210, Section III, Special Compensation Adjustments, In-grade Adjustment.

- 4) Employee's Performance Does Not Meet Performance Expectations
 - a) When an employee's performance does not meet performance expectations, a formal evaluation reflecting a "Does Not Meet" overall rating may be issued at any point in time during the evaluation period or at the end of an evaluation period.
 - b) Prior to effectuating a formal performance evaluation reflecting a "Does Not Meet," rating supervisor is expected to have reviewed the performance expectations with the employee at the start of the evaluation period, monitored the employee's work performance during the evaluation period, provided training as necessary, and provided performance feedback to the

employee on areas for improvement.

If the supervisor still determines that an employee's overall performance does not meet the performance expectations, a formal performance evaluation using the APT EPE Form may be processed. However, the supervisor shall discuss the evaluation with the respective Dean, Provost, Director or designee prior to finalizing and discussing the formal evaluation with the employee.

- c) Whenever a rating of "Does Not Meet" is determined, the supervisor shall provide supporting rationale for the rating. It is the supervisor's responsibility and an expectation of a supervisor to discuss performance feedback that may have been noted during the evaluation period and rationale for an employee's evaluation is to be discussed by the supervisor with the employee.
- f. Employee With Employment Security Whose Performance Does Not Meet Performance Expectations -Opportunity to Improve Performance

When an employee with employment security has been given a formal "Does Not Meet" performance evaluation, the employee shall be afforded an opportunity to improve performance to a level that meets performance expectations.

 The employee with employment security shall have six (6) months to improve performance to a level that meets performance expectations (performance improvement period). If at the end of the six (6) month improvement period, the employee's supervisor determines that progress towards improvement is being made by the employee and the supervisor determines that an extension of the improvement period will be in the best interest of the University and the employee, the supervisor may extend the improvement period for an additional three (3) month period but not to exceed a total of nine (9) months following the employee's receipt of the "Does Not Meet" performance rating.

- 2) At the start of the six (6) months performance improvement period or extension thereof, the immediate supervisor shall inform the employee in writing of: (1) the specific areas in which the employee's performance does not meet performance expectations, (2) the expectations and factors for improving performance to the level that "meets" performance expectations, and (3) the duration (beginning and end dates) of the performance improvement period of six months. In the event that the performance improvement period is extended the supervisor shall provide the duration (beginning and end dates) of the three (3) month extension.
- 3) If the employer determines, based on discussions with the employee with employment security, that the employee shall participate in training as part of the employee's performance improvement program, the six (6) months performance improvement period shall commence following completion of such training. The supervisor shall work with the employee and monitor the performance of the employee during the performance improvement period.
- 4) It is the responsibility and expectation of a supervisor to evaluate the employee with employment security upon completion of the performance improvement period or any extension thereof using APT EPE Form.
 - a) If the employee's performance has not improved to a level which meets the performance expectations within the six (6) months or any extension thereof established

by the immediate supervisor, the employer shall initiate appropriate action.

- b) For the employee with employment security, whose position classification has changed from one career group to another career group in the APT Classification and Compensation Plan during the evaluation period immediately preceding the performance improvement period, the employee shall be provided an additional nine (9) months beyond the initial six (6) months performance improvement period and any extension thereof. The additional nine (9) months is for the purpose of improving the employee's job performance to meet performance expectations in the employee's new career group, provided that funds are available for the employee's position and that the position encumbered by the employee continues to be authorized. At the end of the fifteen (15) months or eighteen (18) months in the event that a three (3) month extension of the performance improvement period is deemed appropriate, the employer shall initiate appropriate action.
- 5) The six (6) months performance improvement period shall not be applicable to an employee with employment security who is appointed to a new APT position and is serving the six (6) months new probationary period or any extension thereof.
- g. Employee Without Employment Security Whose Performance Does Not Meet Performance Expectations

If the work performance of an employee without employment security does not meet performance expectations, the employer shall initiate appropriate action.

- h. Guidelines Special Compensation Adjustment for Performance
 - 1) Special compensation adjustments for performance are subject to the availability of funding and may be authorized by the appropriate Chancellor or Vice President, with no further delegation of decision-making authority for positions in Bands A and B and by the Vice President for Administration and Chief Financial Officer via System Director of Human Resources for positions in Bands C and D, to recognize and reward exceptional employee performance during the standard evaluation period. The performance must have significantly and regularly exceeded work performance standards particularly with regard to reliability, initiative and overall contribution on an on-going basis, included exceptional work performance that significantly contributed toward advancing the objectives of their work unit and the University, demonstrated imaginative and/or creative solutions for difficult or complex problems and/or work efforts that made significant improvements in the work unit operations resulting in enhanced efficiency and/or financial savings.
 - 2) An employee may be considered for nomination for a performance award at the end of each standard evaluation period provided the employee has met all of the following criteria:
 - a) Received an overall Exceptional Performance Rating for the standard evaluation period for which the nomination is made,
 - b) Has six (6) months service in the employee's current position,
 - c) Was employed as an APT employee on July 1 or the calendar year preceding the rating period

- 3) An employee is not eligible to be nominated or receive a Performance Award if the employee:
 - a) Is subject to an employment agreement that may provide other compensation alternatives in lieu of the performance awards addressed herein, or
 - b) Is participating in another University designated demonstration project having other performance awards criteria and/or procedures.
 - c) Does not meet all of the eligibility criteria cited in Subsection h above.
- 4) A performance award is not intended to compensate for alleged deficiencies in the individual employee's basic rate of pay based on market, equity, in-grade growth, or retention considerations. The amount of an award may be determined in the context of the Special Compensation Adjustment - performance awards -Benchmarks (see Attachment 3).

A performance award is not an automatic entitlement, but is a discretionary award, as determined by the employer, to an employee whose performance consistently exceeds performance expectations.

5) The performance awards shall be paid as a single lump-sum stipend rounded to the nearest whole dollar in accordance with University rounding rules and shall be subject to the availability of funding from within a program's approved budget allocation.

When calculating performance awards as a lumpsum stipend, the following shall be observed:

> (Current monthly salary) x (approved percentage(e.g., 2% or 4% or 6% or 8%)) =

(amount to be rounded up to the \$.50 and above to nearest whole dollar) x (12 months) = (total performance award to be paid as a single lump-sum stipend)

- 6) The SCA performance award recommendation must include the following:
 - a) A certification that the employee meets the SCA-PA criteria.
 - Pertinent documentation, statements or citations which support rating the employee's performance as exceptional.
 - c) Certification of availability of funding by the Dean/Provost/Director.
 - d) Any other relevant information or facts in support of the request.
 - e) Completion and submission of an electronic nomination as described in the SCA Performance Award and/or In-grade Growth
 Adjustment Process Flow (see Attachment 4)
- 7) Effective Dates of Awards: SCA-performance awards shall be effective beginning the first pay period following approval. The program shall initiate appropriate action to authorize payment of the approved SCA- performance awards at the appropriate time.
- 8) Funding of Award: Funding for SCA-performance awards shall be the responsibility of the program.
- 9) Award for SCA-In grade Adjustment and SCA-Performance Awards shall not exceed a combined total of 8% of the employee's annual base pay.
- 10) The appropriate Chancellor or Vice President may approve, modify, or deny those requests

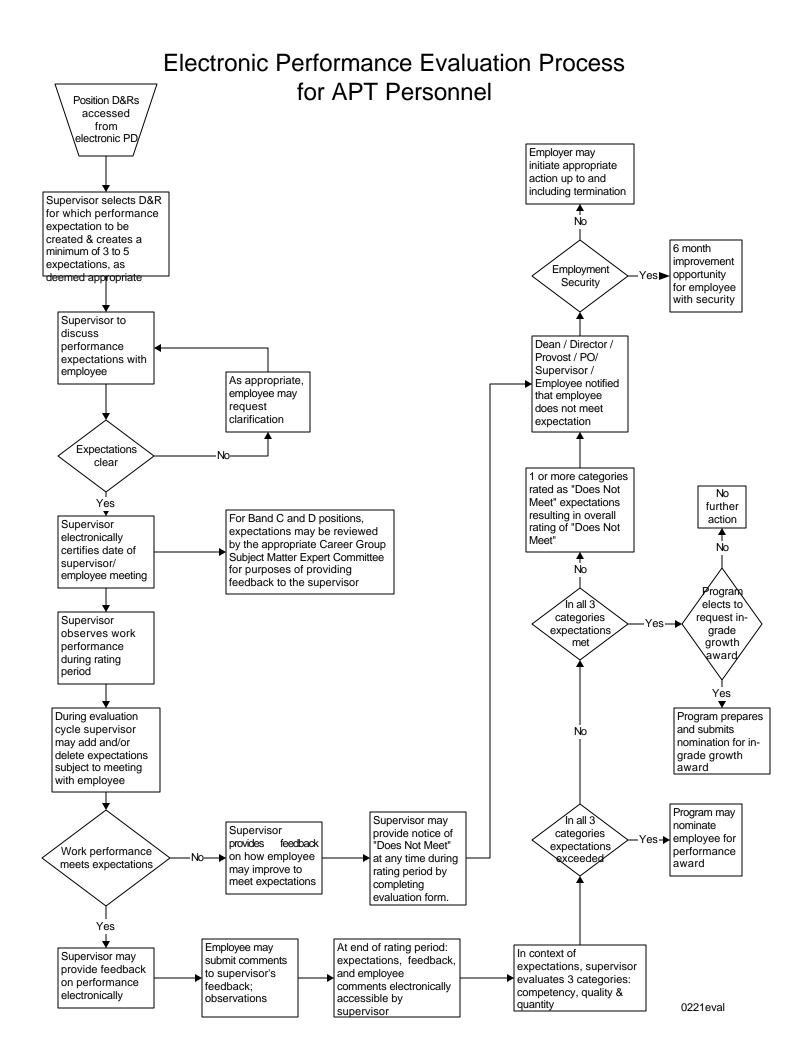
A9.170 Page 16

submitted for SCA-Performance Award for positions assigned to Bands A and B. The Vice President for Administration and Chief Financial Officer may approve, modify, or deny those requests submitted for SCA-Performance Awards for positions assigned to Bands C and D. A copy of the approved requests shall be forwarded to the exclusive collective bargaining representative within ten (10) calendar days of the action taken by the respective_approving authority.

- 11) SCA-Performance Award shall be limited to once during a standard evaluation period.
- i. Procedures Special Compensation Adjustment for Performance
 - A positively supported SCA-Performance Award request initiated by the employee's immediate supervisor may be submitted via the appropriate Dean, Director or Provost or equivalent for endorsement or modification to the appropriate Chancellor or Vice President.
 - a) The respective Chancellor or Vice President shall have authority to approve, modify, or disapprove the request to include the amount of adjustment recommended with notation of the rationale/comments for positions assigned to Bands A and B and forward all approved requests to the System Director of Human Resources. The Vice President for Administration and Chief Financial Officer via System Director of Human Resources shall have authority to approve, modify, or disapprove requests to include the amount of adjustment recommended with notation of the rationale/comments for positions assigned to Bands C and D.
 - b) All disapproved requests with comments/

rationale for disapproval shall be returned to the appropriate submitting office.

2) The appointing authority shall initiate appropriate action to effect payment of the approved Performance Award.



University of Hawai'i: Performance Evaluation System APT Employee Performance Evaluation Form

Position: 12345678, UH ADMINISTRATIVE OFF IV	
	Close Window
Employee's Name: Employee Name	
School/College/Campus: Employee Department	
Position Title: Employee Title	
Position No.: 12345678	
Pay Range and Step:	
Last APT Date of Hire: 1/1/2001	
Supervisor's Name/Title: Supervisor Name, Supe	rvisor Title
The evaluation covers the period from 1/1/2002	o 1/31/2002.
	PARTIAL EVALUATION
This employee is rated:	
COMPETENCY:	Exceptional
QUALITY:	Meets
PRODUCTIVITY:	Meets
OVERALL:	Meets
ADDITIONAL COMMENTS:	
	e developing the University of Hawaii APT Performance Evaluation e deadline and the migration to production was seamless.

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Special Compensation Adjustment - Performance Award - Benchmarks

Exceptional Performance: Demonstration of sustained performance that consistently exceeds the established performance expectations set for the incumbent of the position inclusive of accomplishments that significantly enhance and benefit the advancement of the goals, objectives and mission of the work unit, department and/or University._(*Notes:* (1) A Special Compensation Adjustment - Performance Award (SCA-PA) is not an automatic entitlement, but is a discretionary award to an employee whose performance consistently EXCEEDS performance expectations (2) An employee who meets performance expectations, in essence, "gets to keep his or her job" and does not merit a SCA-PA)

ΡΑ	Benchmark
2%	 Exceptional Performance Criteria: Exceptional Performance characteristically (a) has a significant impact on the work unit's ability to meet or exceed organizational goals, objectives and mission and (b) must in and of itself be distinguished from the performance of all other colleagues within the work unit; such that colleagues and/or "customers," if asked, would generally acknowledge that the nominated employee performed exceptionally. The exceptional employee typically demonstrates successful, timely and comprehensive project implementation and/or completion or significant accomplishment(s). , e.g. completion of a major project or assignment. Accomplishments typically may include: (a) noticeable increase in the productivity and efficiency of the unit, campus, or system; (b) consistent completion of additional work assignments beyond regular work assignments and/or independent successful implementation of new ideas or related projects; and/or (c) demonstrated exceptional service, attitude or effort.
	 Examples of exceptional performance that merits a 2% SCA-PA_include: Documented successful completion of work projects and/or assignments resulting in positive financial consequences; exceptional service to end users, work unit's and/or University system resulting in extreme customer satisfaction; or independent development of initiatives, projects or creative operating solutions that enhanced the efficiency and effectiveness of the unit, campus and/or University system.
4%	 Distinguished Exceptional Performance Criteria: Distinguished Exceptional Performance exceeds Exceptional Performance and characteristically (a) has a substantial impact on the work unit's ability to meet or exceed organizational goals, objectives and mission; and (b) must in and of itself be so distinguished from the performance of all other colleagues within the work unit that the supervisor regards the nominated employee's performance as setting the hallmark standard in determining exceptional performance within a school, college or its organizational equivalency. In addition, colleagues and/or "customers," if asked, would generally acknowledge that the nominated employee's performance was deserving of designation as "distinguished." Work performance that included one or more of the following characteristics: sustained performance that (a) far exceeded the expected level of productivity, (b) significantly contributed to the overall efficiency and/or (c) significantly enhanced the effectiveness of the unit, campus or University system; Accomplishments typically may include: (a) the successful self initiation and completion of major projects, (b) programmatic systems changes that required personal commitment to resolve complex technical, operating and/or technical/user interface issues that permitted the unit, campus or system to achieve major program goals and objectives or resulted in significant achievements in "high risk" or "high visibility" assignments or projects.
	 Documented work products or consequences resulting in a direct impact on the productivity of a work unit, campus, system that directly resulted from the sustained superior performance of the employee; examples of major projects, programmatic changes that required a significant personal commitment to self initiate effective and efficient complex solutions to unanticipated policy, procedural, operating and/or programmatic/customer interface issues.

РА	Benchmarks
6%	 Very Distinguished Exceptional Performance Criteria: Very Distinguished Exceptional Performance exceeds the Distinguished Exceptional Performance and characteristically (a) has a substantial impact on the work unit's ability to meet or exceed organizational goals, objectives and mission and (b) must in and of itself be so distinguished from the performance of all other colleagues within the work unit that the supervisor regards the nominated employee's performance as setting the hallmark standard in determining exceptional performance on a campus-wide basis. In addition, colleagues and/or "customers," if asked, would generally acknowledge that the nominated employee's performance was deserving of designation as "very distinguished." Accomplishments may typically include one or both of the following: (a) unprecedented and highly regarded service and consultation to end users, work unit, campus and/or system or (b) development of positive and highly visible initiatives which markedly increased efficiency and effectiveness of the unit, campus and/or University system.
	 Examples of Very Distinguished Performance that merits a 6% SCA-PA include: Documented leadership, individual creativity and initiative that surpassed expectations and directly resulted in outcomes that enabled the unit, campus, and/or systems productivity (i.e., substantive accomplishment(s) which led to a major breakthrough on a research project - directly impacting the research project and/or substantive accomplishment(s) which directly increased the efficiency and effectiveness of a unit, campus and/or University, etc.).
8%	 Highest and Rare Level of Exceptional Performance Criteria: Highest and Rare Level of Exceptional Performance exceeds Very Distinguished Exceptional Performance and characteristically (a) has a substantial impact on the work unit's ability to meet or exceed organizational goals, objectives and mission and (b) must in and of itself be so distinguished from the performance of all other colleagues within the work unit that the supervisor regards the nominated employee's performance as setting the hallmark standard for exceptional performance on a system-wide basis and consequently such an employee may be considered for nomination as candidate for University Employee of the Year. In addition, colleagues and/or "customers," if asked, would generally acknowledge that the nominated employee's performance was deserving of designation at the "highest and rare level." Work performance included documented accomplishments with the assumption of personal responsibility for the direct delivery or delivery of outcomes by other subordinate professional that required: (a) risk-taking, ingenuity and persistence to resolve issues or the design and install new systems that integrated subsystems involving users or systems with conflicting priorities and interests; (b) initiation of new and unprecedented and highly regarded service and consultation to end users, work unit, campus and/or system, and/or; (c) the development of highly visible and recognized initiatives which resulted in markedly increased efficiency and effectiveness of the unit, campus and/or University's established goals and objectives.
	 Examples of the Highest and Rare Exceptional Performance that merits a 8% SCA-PA include: Highest caliber of accomplishment which typically would warrant recognition of the individual as a nominee for University Employee of the year based on the employee's work performance and contribution to the work unit, campus and/or University.

<u>Note</u>: The illustrative examples cited above are for ease of reference and should be used as convenient guides only, not as absolute standards. Eligibility for SCA-PA are subject to the established criteria (listed below). The granting of any SCA-PA shall be subject to the availability of funding.

SCA-PA - Eligibility Criteria (Note: All three criteria must be met to qualify)

- 1) Must have been employed for at least six (6) months in current position.
- 2) Must have received an "Exceptional" performance rating.
- 3) Must have been nominated by the supervisor.

