

COLORADO STATE UNIVERSITY
EVALUATION OF ADMINISTRATIVE PROFESSIONALS

DATE: MARCH 14, 2000

NOTE: Copies of this document also may be requested from the Office of the Vice President for Administration Services.

Introduction and Background

This instruction guide is offered to you as part of a University-wide effort to enhance the evaluation process for Administrative Professional employees. Guidelines for this evaluation process are mandated according to Section D.5.5 of the Academic Faculty and Administrative Professional Staff Manual.

Enclosed as part of the guide are the following:

1. The Academic Faculty and Administrative Professional Staff Manual statement setting forth the mandatory guidelines for performance evaluation of Administrative Professionals;
2. A recommended performance process and appraisal form.

Also included as an appendix some examples of other performance evaluation forms and procedures.

Should you have any questions or comments, please contact the Office of Vice President for Administrative Services, 309 Administration Building, 1-5257.

From the Academic Faculty and Administrative Professional Staff Manual:

D.5.5. Evaluation of Performance of Administrative Professional

- a. Each administrative unit shall establish formal procedures for an annual evaluation of performance of its administrative professionals.
- b. Evaluations shall be based on the quality and quantity of performance in fulfilling the individual's responsibilities as those responsibilities are defined in the employee's job description during the period of evaluation.
- c. The employee may also submit information and documentation pertinent to the evaluation and may submit a self evaluation, both of which shall be taken into consideration by the superior in the evaluation process.
- d. The immediate supervisor shall hold a formal annual conference with each individual as part of the evaluation, during which the employee shall be fully advised concerning the methods and criteria used in the evaluation and the results of the evaluation.
- e. The evaluation shall be in writing and shall be signed by the immediate supervisor and the employee, who thereby indicates receipt of the evaluation. A copy shall be provided to the employee.
- f. The Provost/Academic Vice President of the University is responsible for assuring that such evaluation is conducted in a proper and timely manner.

RECOMMENDED PERFORMANCE APPRAISAL AND PROCESS

I. Features of a Proper Evaluation Form

While the usage of a form for evaluation is a matter of personal choice, it does provide an orderly way of approaching the process and is perhaps easier than writing a letter which includes the recognized aspects of good evaluation practices.

It is generally agreed that an evaluation form should include certain factors. These are:

1. A current job/position description;
2. A delineation of the duties within that description and an evaluation of the performance of those duties, perhaps with inclusion of behaviors associated with performance and impacting upon it;
3. A defined rating system, whether with words or numbers, recognizing both ends of the spectrum of performance;
4. Room for comments on the form itself, and perhaps also appended;
5. Encouragement to and recognition of excellence or outstanding performance;
6. An overall evaluation derived from evaluation of the performance of relatively specific duties/tasks;
7. A provision for goal setting and/or a professional growth plan for the future;
8. Signatures of both the evaluator and the individual being evaluated, indicating that the employee has seen the evaluation but not necessarily indicating agreement with the evaluation; and
9. An explanation of the basis for evaluation, i.e., personal observation, peer/colleague judgement, outside judgement or comment, information and/or documentation provided by the employee, or other.

In addition, the form should be easy to read both in printing and in graphic style, and it should be of reasonable length -- neither too short nor too long.

Other factors to consider when using a form:

- It may be perceived as too mechanistic and behaviorialistic.
- Caution should be taken that it is not too generic, i.e., it must be pertinent to the job description/expectations.
- Moreover, the form will lack meaning if the criteria are not defined.

II. Features of a Proper Evaluation Letter

If a letter is used in lieu of an evaluation form, then the following items should be addressed within the letter:

1. The name and title of the person being evaluated.
2. The name and title of the person conducting the valuation along with the relationship of the evaluator to the person being evaluated (e.g., direct supervisor, department chairperson, etc.).
3. The period which the evaluation covers.
4. A description of present job responsibilities.
5. A description of the criteria used for the evaluation.*
6. A promotion of goal setting for future activities to provide for future evaluations.
7. An overall evaluation of performance for the period.
8. Encouragement to professional growth.
9. Signature blocks for all parties involved in the evaluation.
10. Allowance for comments from the person being evaluated.

* The criteria for evaluation should explain how the person was rated and the major performance factors used for the evaluation. The rating system should provide for encouragement of excellence by stressing high, achievable standards of performance.

Other Factors to Consider

While a well-written letter of evaluation can be very appropriate, the letter format does nonetheless have potential disadvantages. There may be a lack of continuity from one evaluation period to the next. It is quite possible that by using the letter format the supervisor may evaluate on a specific criteria one period and ignore it during the next period. It is critical for both supervisor and employee to understand and recognize whether there has been improvement or deterioration in a job performance from the preceding period.

When using a letter as compared to a form, it is also perhaps easier to conduct an incomplete evaluation. This can occur because the evaluator may not be alerted to certain categories or criteria that should be evaluated. An evaluation form will show the evaluator the exact criteria for evaluation.

INSTRUCTIONS FOR COMPLETING THE PERFORMANCE APPRAISAL FORM

GENERAL INFORMATION:

A formal performance evaluation should be done at least annually for all Administrative Professional employees, coordinated with the annual salary review process. A quarterly or semi-annual schedule may be appropriate for new employees, or employees whose evaluation is less than adequate. Informal reviews of goals and progress should take place more frequently than the formal evaluation process.

PRIMARY RESPONSIBILITIES SECTION:

The primary responsibilities for the position should come from the position description. "Related Performances" for these areas of responsibility are the annual narrative evaluation of performance by the supervisor.

PERFORMANCE PROFILE:

Each of the listed performance factors that are applicable for the position being evaluated should have a short summary statement of related performance.

RECOMMENDED JOB-RELATED GOALS FOR COMING PERIOD:

Specify goals for the individual and their programs for the next evaluation cycle, and how they will be assessed. These goals need to be specific, and will be measured in the next evaluation period.

RECOMMENDED INDIVIDUAL DEVELOPMENTAL GOALS FOR COMING PERIOD:

Specify any individual professional development goals that are significant. This could include training, conference participation, leadership for specific groups or associations, career development activities, etc.

**COLORADO STATE UNIVERSITY
PERFORMANCE APPRAISAL**

Name of Employee: _____ Position Title: _____

Department: _____ Supervisor: _____

Period of Appraisal: From _____ To _____

Current FY Budget
Over Which Individual
Has Direct Responsibility
\$ _____

Current FY #
Of Direct
Reports

Current FY # of Staff
Reporting Under this Individual
Individual (Reg./Special/Temp = Total)
____ / ____ / ____ = ____

Reason for Review: Annual () Special () Other: _____

SPECIFIC RESPONSIBILITIES	
Primary Responsibilities	Related Performances
1	
2	
3	
4	
5	

PERFORMANCE PROFILE		
Performance Factors	Observed Behavior	N/A
<p><u>Job Knowledge/Professional Development:</u> Is technically and professionally skilled in all position responsibilities and requirements. Maintains currency in all professional aspects of program responsibility. Seeks new skills, sets high professional goals and standards.</p>		
<p><u>Productivity/Program Management:</u> Consistently applies available resources towards program delivery in an efficient and cost effective manner, providing high quality levels of service. Strives to assure program meets overall best interests of Colorado State University.</p>		
<p><u>Quality of Work:</u> Maintains high standards of quality in all areas.</p>		
<p><u>Initiative:</u> Is able to work with limited oversight. Shows initiative in developing and implementing more effective and efficient program delivery options.</p>		

Performance Factors	Observed Behavior	N/A
<p><u>Fiscal Management:</u> Consistently provides cost effective stewardship of all public resources. Understands university fiscal policies and procedures, and implements them in an effective and efficient manner.</p>		
<p><u>Planning/Follow-Up:</u> Consistently develops goals, plans and priorities, and assures through delegation and overall management so that actions are implemented in a timely and effective manner. Assures that follow-up is provided.</p>		
<p><u>Leadership/Supervisory Skills/Staff Development:</u> Is fair and timely in staffing, evaluating, conflict resolution, and terminating employees. Utilizes employee skills effectively and productively in meeting program goals. Promotes appropriate staff development activities. Actively supports the University Diversity program, both formally and by example. Motivates staff and gains support and action from others while maintaining professional relationships. Consistently challenges past practices in order to identify and implement more effective and efficient practices.</p>		

Performance Factors	Observed Behavior	N/A
<p><u>Human Relations/Communication Skills:</u> Demonstrates high quality and effective verbal and written interpersonal communication skills. Communicates well with subordinates, peers, and supervisors through clear, concise written and oral communications.</p>		
<p><u>Problem Analysis/Decision Making/Independent Judgment:</u> Consistently gives reasonable consideration to all facets of issues that arise, gathers and analyzes information accurately, seeks appropriate input, makes quality and timely decisions, and communicates those decisions to all affected parties.</p>		
<p>Other (Specify)</p>		

Areas of Greatest Strength:

Areas Requiring Additional Development:

Overall Appraisal (Circle one and provide written narrative including major accomplishments):

Outstanding Exceeds Requirements Meets Requirements Needs Improvement Unsatisfactory

RECOMMENDED JOB-RELATED GOALS FOR COMING PERIOD

RECOMMENDED INDIVIDUAL DEVELOPMENTAL GOALS FOR COMING PERIOD

Supervisor's Signature

Date of Interview

My signature indicates that the appraisal interview has been completed and discussed. I understand that I have the right to respond in writing within 5 days and to have these comments attached to this form as it goes to the review.

Employee's Signature

Date

Reviewer's Signature

Date

APPENDIX "A"

OTHER PERFORMANCE EVALUATION PROCEDURES AND FORMS

Some other examples included:

1. UC-Boulder - Unclassified Administrators/Professional Exempt Staff
2. Univ. of Northern Colorado: Professional Administrative Staff Performance Planning and Evaluation

University of Colorado - Boulder
Unclassified Administrators/Professional Exempt Staff

EXAMPLE #1

PERFORMANCE PLANNING AND APPRAISAL FORM

FOR 19__

DEPARTMENT _____

NAME _____ TITLE _____

SOCIAL SECURITY NUMBER _____

RESULTS FACTORS

- A. **AFFIRMATIVE ACTION:** Given available resources and opportunity, consistently achieves good affirmative action results in recruiting, hiring, managing, training and developing staff, and for actively promoting programs/policies/procedures which have a positive impact on affirmative action in a unit, department, vice chancellor area, or throughout the total university.

Remarks:

ACHIEVED _____ RESULTS
R a t i n g

- B. **PROGRAM MANAGEMENT:** Given available resources, consistently achieves satisfactory service with acceptable quality, timeliness, volume and scope in assigned program areas. Initiation and ability to expand programs and initiate new programs to benefit UCB.

Remarks:

ACHIEVED _____ RESULTS
Rating

C. **FISCAL MANAGEMENT:** Consistently achieves satisfactory cost effectiveness, resources procurement and allocation, and resources conservation criteria. Understands, controls, and shows flexibility in own accounts.

Remarks:

RESULTS

ACHIEVED

Rating

D. **HUMAN RESOURCE MANAGEMENT:** Is fair and timely in staffing, appraising, and terminating employees; utilizes employee skills effectively while maintaining high productivity, morale, and staff competency. Promotes staff development actively.

Remarks:

RESULTS

ACHIEVED

Rating

E. **PUBLIC RELATIONS:** Develops and implements strategies to stimulate program awareness, support, credibility, and perceived responsiveness from both internal campus and external campus constituencies, commands this supports from both verbal and written personal communications skills.

Remarks:

RESULTS

ACHIEVED

Rating

BEHAVIOR FACTORS

F. PROBLEM ANALYSIS AND DECISION MAKING: Consistently gives reasonable consideration to all facets of problems, analyzes information accurately, seeks appropriate input, uses appropriate reporting techniques, and makes quality, timely decisions.

Remarks:

_____ BEHAVIOR

OBSERVED Rating

G. PLANNING, ORGANIZING, AND COORDINATING: Consistently develops goals, plans, and priorities; delegates and follows through properly; coordinates with and seeks appropriate input in the development of these objectives; communicates these goals, plans, and priorities when finalized.

Remarks:

_____ BEHAVIOR

OBSERVED Rating

H. INTERPERSONAL AND LEADERSHIP SKILLS: Initiates interfacing, typically motivates, resolves conflict, and gains support and action from others while maintaining positive relationships.

Remarks:

_____ BEHAVIOR

OBSERVED Rating

I. ORGANIZATIONAL COMMITMENT AND ADAPTABILITY: Adheres to established policy; responds cooperatively to imposed changes in priorities; puts forth hard work and extra effort as required. Initiates change to establish policy when appropriate and through proper channels. Actively supports the affirmative action program both formally and by example.

Remarks:

OBSERVED _____ BEHAVIOR

Rating

J. PROFESSIONAL GROWTH AND DEVELOPMENT: Consistently attempts to learn new aspects about professional life and tries to use these on the job; seeks new skills; consistently challenges the way one goes about doing business in the interest of professional betterment; sets high professional goals, standards and behavior.

Remarks:

OBSERVED _____ BEHAVIOR

Rating

JOB SPECIFIC FACTORS

K.

OBSERVED/RESULTS ACHIEVED _____ BEHAVIOR

Rating

L.

_____ BEHAVIOR
OBSERVED/RESULTS ACHIEVED
Rating

M.

_____ BEHAVIOR
OBSERVES/RESULTS ACHIEVED
Rating

N.

_____ BEHAVIOR
OBSERVED/RESULTS ACHIEVED
Rating

O.

_____ BEHAVIOR
OBSERVED/RESULTS ACHIEVED
Rating

Additional Space for Planning or Appraisal Comments:

Overall Results Rating: _____

Rating Scale

Overall Behavior Rating: _____

5-Excellent

4-Good

Overall Performance Rating: _____

3-Average

2-Fair

1-Poor

N/A to Position

SIGNATURES

Performance Planning: We have reviewed the appraisal scale for Directors, and have agreed to the performance plan.

Rater

Date

Employee

Date

Performance Appraisal:

Date / _____ Rater

Date / _____ Employee

This instrument has been approved by the University of Northern Colorado President's Staff or use in the annual performance planning and evaluation of administrative-exempt employees as required by section 4.5 of UNC codification. This form may be used to evaluate any employee in a regular, administrative-exempt position. Faculty members serving in academic-administrative positions will be evaluated in accordance with section 3.4 of codification. The performance of the Provost, Vice Presidents, Deans and other administrators in Level VI or higher of the exempt-staff model may be evaluated using other methods and individually designed formats.

The form should be used initially by the supervisor to develop a performance plan for each employee for the coming year. Approximately mid-year, the employee and supervisor should meet to review performance to date and any changes needed. The final evaluation of each performance factor should be completed before the end of the year.

Name _____ SSN: _____
Title _____
Department _____ Position Number _____
Period From _____, 19__ To _____, 19__.

Performance Factors

Check All Factors that are used for Planning and Evaluation

A. PROGRAM MANAGEMENT

With available resources, consistently achieves program objectives with acceptable levels of service, quality, quantity and timeliness. Displays initiative in developing new approaches and alternative methods to improve program delivery.

Remarks:

2

B. FISCAL MANAGEMENT

Manages fiscal resources responsibly. Satisfactorily allocates and conserves resources to achieve program objectives while exercising appropriate control and accountability over accounts.

Remarks:

___ C. HUMAN RESOURCE MANAGEMENT

Utilizes employee skills to meet program objectives while maintaining staff productivity, morale and competency. Promotes staff development; makes effective staffing decisions and actively pursues affirmative action goals.

Remarks:

___ D. PLANNING, ORGANIZING AND COORDINATING

Develops goals, plans and priorities to achieve program objectives; communicates requirements to staff; delegates authority and responsibility appropriately and follows through to ensure implementation .

Remarks:

3

___ E. PROBLEM ANALYSIS AND TASK MANAGEMENT

Considers all facets of problems; analyzes information accurately; consults with others; seeks appropriate input; makes quality, timely decisions and utilizes appropriate reporting techniques.

Remarks:

___ F. ORGANIZATIONAL COMMITMENT

Adheres to established policies; accepts and follows direction; responds cooperatively to change and expends extra effort as required. Initiates changes to policy and procedure where appropriate and through proper channels.

Remarks:

___ G. LEADERSHIP AND SUPERVISION

Maintains positive relationships and gains support while motivating staff to realize program objectives. Considers the needs and abilities of subordinates and is fair and timely in staff evaluations and conflict resolution.

Remarks:

4

___ H. PUBLIC RELATIONS AND COMMUNICATIONS

Develops and implements strategies to develop program awareness, credibility and support among both internal and external campus constituencies. Communicate well with subordinates, peers and supervisors through clear, concise written and oral communications.

Remarks:

___ I. PROFESSIONAL DEVELOPMENT

Establishes high personal and professional goals; pursues professional growth and learning opportunities; seeks ways of applying new skills and methods to existing practices to improve program delivery.

Remarks:

Overall Performance Appraisal:

JOB SPECIFIC FACTORS

__ J. Description:

Remarks:

__ K. Description:

Remarks:

FOCUS FOR NEXT FISCAL YEAR:

ADDITIONAL PLANNING OR EVALUATION COMMENTS:

EMPLOYEE COMMENTS:

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PERFORMANCE PLAN COMPLETED:

-----/-----
Supervisor (signature)

Date

-----/-----
Employee (signature)

Date

Mid-Year Review Completed:

-----/-----
Supervisor

Date

-----/-----
Employee

Date

Annual Performance Appraisal Completed:

-----/-----
Supervisor

Date

-----/-----
Employee

Date

-----/-----
Vice President

Date

Personnel Services (date)