

Classified Service Ratings

NP-2 Maintenance and Service

Presented by the Office of Faculty & Staff Labor Relations and
the Department of Human Resources

What is a Service Rating?

- A written evaluation of the employee's performance over a specified time period



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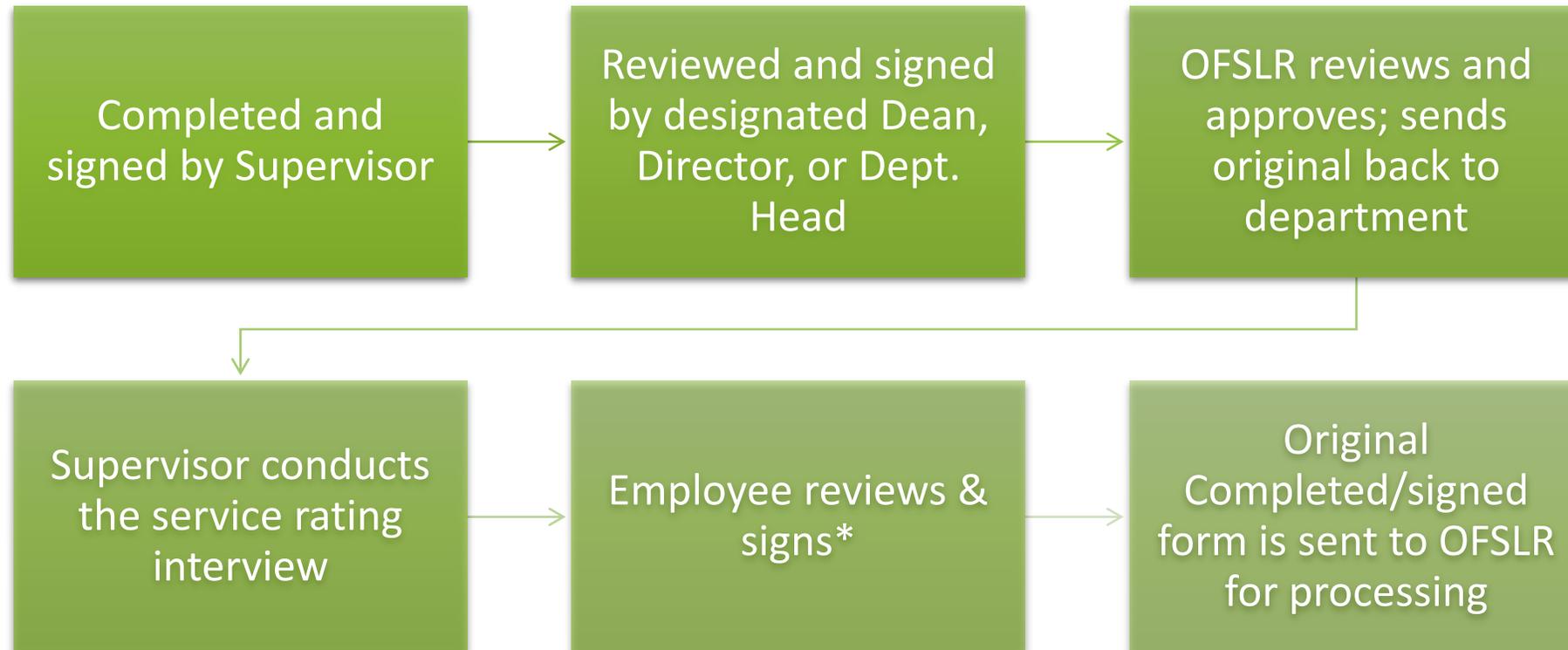
When should service ratings (SRs) be conducted?

1. Before the end of an initial or promotional working test period
2. Annually, by October 1st (annual increments are awarded on January 1st)
3. As needed:
 - To address specific performance issues
 - To recognize performance improvement
 - To restore an annual increase
4. At such times as it is determined that the quality of service of an employee should be recorded; at the discretion of the supervisor

When do I prepare an annual evaluation?

- **By August 1 to August 31:** Supervisor prepares the service rating (SR) by completing the form
- **September 1 to September 15:** Appropriate Dean, Director, or Department Head review and approve. Make changes if necessary.
- **On or before September 15:** Completed SR is sent to Labor Relations for review and approval. The LR-approved SR is returned to the supervisor to review with the employee
- **Before October 1st:** Supervisor & the employee review the SR and the employee signs it
- **Before October 1st:** the fully signed SR is sent to Labor Relations for processing and filing in the official personnel record

Service Rating Process



*Employees should be reminded that their signature does not necessarily indicate approval or agreement with the rating, only that they have seen it. If an employee refuses to sign the rating, the employee's union steward is required to sign the same rating and be provided with a copy. If the union steward is unavailable, the supervisor should attach a note to the original copy, which will be filed in OFSLR, indicating that the rating was discussed with the employee on that date, but the employee refused to sign.

Purpose: Why do we do service ratings?

- SRs are an opportunity for supervisors to provide employees with a knowledge of their performance over time.
 - The interview to discuss the SR with the employee should be private; enough time should be allotted for a real conversation.
 - This is the opportunity for the supervisor to:
 - Identify strengths and/or areas of concern
 - Clarify job expectation
 - Coach and counsel
 - Provide positive feedback for satisfactory performance
 - Discuss problem areas with employees whose performance is less than good
- Remember to provide specific examples rather than speaking in general terms.

Service Rating Interview

- Opportunity for the manager to:
 - Set goals for the upcoming year
 - Review goals met for past evaluation year
 - Provide positive feedback and communicate areas of improvement
 - Opportunity for the employee to:
 - Ask their supervisor for tips or other guidance on how to be successful in their position
 - Ask how to progress through the ranks of the department
- Reminder: always conduct in private

Service Rating vs. Discipline

Service ratings are not discipline and should not be used as a punitive tool. Discipline should be handled at the time of the incident, not the annual service rating.

- Instead, service ratings:
 - Serve as a written culmination of on-going feedback and observations documented throughout the evaluation period
 - May be used to point out areas of weakness and to counsel on corrective action
 - Final outcome should not come as a surprise to employee
- However, progressive discipline may be warranted when:
 - There are performance problems, attendance problems, misconduct, or issues and must be addressed in a timely manner
 - Should discipline be issued, it may be used to support “less than good” ratings in the evaluation; however, it is a separate process

What do I put in a service rating?

Evaluating Performance-Supervisor Best Practices

- Supervisors should evaluate regularly and avoid only providing feedback annually
 - Coach and counsel
 - Positive and constructive feedback
 - Allow a space for employees to approach with questions or feedback
 - Model behavior
 - Fair and impartial with evaluations
 - Consistent in addressing performance
- Avoid making comments in the service rating that are inconsistent with the rating
- Service rating interviews:
 - Should not be the first employee learns of problems
 - Should be a review of conversations that have already taken place throughout the evaluation period
- If discipline has been issued during the evaluation period, it should be reflected in the service rating

Service Rating

Initial Working Test Period

- Permanent positions are required to serve an initial six (6) month working test period
- For satisfactory performance, the SR should be filled out not less than two (2) weeks prior to the end of the working test period
- Failure to complete the evaluation will default employees to permanent
- Crucial for supervisors to address performance or attendance problems during the working test period as soon as possible
 - Ideally, at the first sign of problems in performance or attendance the supervisor should document this in their own files
 - If the employee's performance does not improve, **he/she can be dismissed at any time during the working test period**
- Important note: please do not wait until the end of the working test period to address poor performance or attendance issues
- For unsatisfactory performance during the working test period, the Office of Faculty & Staff Labor Relations should approve the evaluation prior to sharing with the employee

Service Rating

Promotional Working Test Period

- Employees promoted will serve a four (4) month promotional working test period
- For employees who successfully complete their promotional working test period, a service rating should be filed at the end of the four (4) month period
- For an employee whose performance has been less than good, failure of a promotional working test period has varying implications
- Failure to complete evaluation will default employees to permanent

Service Rating

Working Test Period Extensions

- Extensions

- Initial and promotion
- Extensions do not normally extend beyond three (3) months, but may be as long as six (6) months
- Common reasons:
 - Completing skills training
 - Not sufficient time to observe performance
 - On a performance improvement plan

➤ Requests must be submitted to the Office of Faculty & Staff Labor Relations four (4) weeks prior to the end of the working test period

Points for filling out the form

- The service rating form has been provided to you so that you may review it during this presentation. It is PER-148.
- It is a State of Connecticut form that the Department must use for annual evaluations.
- There are “Job Elements” that require ratings of 3 levels of “Satisfactory” and 2 levels of “less than satisfactory.” Only check one box!
- A brief explanation of reasons is to be provided for any category rating of “fair” or “unsatisfactory”. Relative supportive comments for ratings are permissible.

Service Rating

PER-1148 Form, Pg. 1



State of Connecticut Human Resources
Employee Service Rating
Maintenance & Service (NP-2) Unit

Form # PER-148
 Revision Date: 12/2003

Employee info, type of Service Rating, and period covered (9/1/yyyy-8/31/yyyy)

TYPE OF PERFORMANCE APPRAISAL			DATE
<input type="checkbox"/> INITIAL PROBATIONARY <input type="checkbox"/> ANNUAL <input type="checkbox"/> PROMOTIONAL <input type="checkbox"/> OTHER			DATE OF LAST REVIEW
EMPLOYEE NAME	EMPLOYEE NUMBER	TITLE	PERIOD COVERED
DIVISION		DEPARTMENT	

INSTRUCTIONS: Evaluate the employee on the job (position) being performed during the period noted above. Check the box which represents your objective evaluation of each job element.

Service Rating

PER-148 Form, Pg. 1 Continued

INSTRUCTIONS: Evaluate the employee on the job (position) being performed during the period noted above. Check the box which represents your objective evaluation of each job element.

DEFINITIONS:
EXCELLENT - Exceeds Standards Consistently
GOOD - Meets All Expectations, High Achiever, Strives Towards Excellence
SATISFACTORY - Meets Minimum Required Standards of Acceptance
FAIR - Requires improvement, Yet is Passable
UNSATISFACTORY - Below Acceptable Standards



JOB ELEMENTS	EXCELLENT	GOOD	SATISFACTORY	FAIR	UNSATISFACTORY
KNOWLEDGE OF WORK: (Job Related) What individual knows through education, experience and special training.	<input type="checkbox"/>				
QUANTITY OF WORK: Volume of work produced.	<input type="checkbox"/>				
QUALITY OF WORK: Neatness, accuracy, frequency of errors.	<input type="checkbox"/>				
ATTENDANCE: Tardiness, absenteeism, use of sick leave.	<input type="checkbox"/>				
COOPERATIVENESS: Acceptance of authority, directives, work relationships with fellow employees, accepting responsibility.	<input type="checkbox"/>				

Service Rating

Consequences of “Less Than Satisfactory” and “Unsatisfactory” ratings

- A “Less Than Good” service rating may mean that an employee is not eligible for an anniversary increase, promotion or transfer. The supervisor should make it known to the Office of Faculty and Staff Labor Relations (laborrelations@uconn.edu or 486-5684) if an increase is to be denied for a LESS THAN GOOD rating.
- An “Unsatisfactory” rating may result in the denial of an increase. Two consecutive unsatisfactory ratings, filed within two years of each other, may be cause for dismissal.

Service Rating

“Less Than Good” Performance

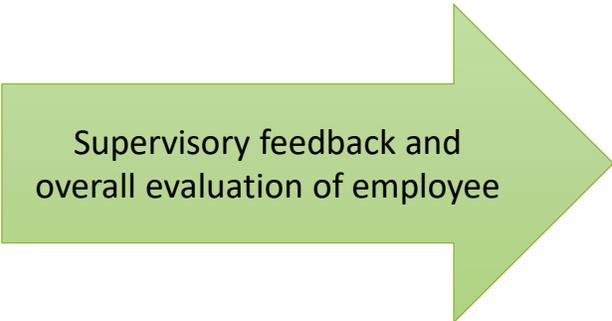
- Before filing a "less than good" service rating, supervisors should call the Office of Faculty and Staff Labor Relations at ext. 5684 or laborrelations@uconn.edu for guidance.
- Supervisors should be able to answer "yes" to the following questions before filing a "less than good" rating:
 1. Is the employee working within his/her job specification?
 2. Have the University's and the department's rules, regulations and policies been explained to the employee? Is there documentation as to when and how?
 3. Has the employee been given adequate training in order to perform his/her duties?
 4. Have performance problems been pointed out to the employee and suggestions for improvement been made? Is there documentation to show dates of counseling sessions and progressive discipline? Has a letter of warning specifically referencing the possibility of a "less than good" rating been given to the employee?
 5. Has the employee been given sufficient time and opportunity to improve his/her performance?
 6. Is the rating an objective evaluation?

Service Rating

Evaluating Attendance

- Attendance rating based on:
 1. The number of days and occasions used on the Sick Leave Usage Table at page 35 of Resolving Employee Performance Problems (<https://hr.uconn.edu/resolving-employee-performance-problems/>),
 2. An employee's tardiness record, and
 3. Any unauthorized leave
- Excessive use of sick leave should be evaluated considering the following factors:
 1. Number of days taken, and number of occasions
 2. Patterns of usage
 3. The employee's past record
 4. The reasons for sick leave use
 5. Extenuating circumstances
- For employees whose attendance needs improvement, copies of counseling letters and/or medical certificate requirements and warnings should be attached to the rating.

Service Rating PER-148 Form, Pg. 2



Supervisory feedback and
overall evaluation of employee

- Please be sure to take into consideration discipline that has been documented for this evaluation period

COMMENTS: (Provide brief explanation of reasons for any category rating of Fair or Unsatisfactory. Relative supportive comments for ratings are permissible. [Reference Article 9, Section Five of the Contract])



OVERALL RATING: A rating of "Unsatisfactory" in one (1) category or of "Fair" in two (2) categories shall constitute a rating of "Less Than Good".

Check Appropriate Box

EXCELLENT GOOD SATISFACTORY FAIR UNSATISFACTORY

Overall Rating

- You will then give an overall evaluation of the employee. You may select:
 - Excellent
 - Good
 - Satisfactory
 - Fair
 - Unsatisfactory
- Only fair or unsatisfactory ratings may be grieved

“Fair” or “Unsatisfactory” Ratings

- A rating of “unsatisfactory” in one category or “fair” in two categories means that the appraisal is considered “less than good”, and you may only make the overall rating “fair” or “unsatisfactory”
- When deciding eligibility for an annual increment, a single unsatisfactory or two (2) fair ratings may be considered grounds for denial of such step

Service Rating PER-126 Form, Pg. 2

Supervisor who completes the evaluation

RATED BY:	DATE:
REVIEWED BY:	DATE:
APPROVED BY:	DATE:
EMPLOYEE:	DATE:

NOTE TO EMPLOYEE: Your signature confirms that you have seen this report and discussed it with your supervisor. It does not indicate your agreement with or approval of the rating. [Reference: Article 9, Section Two of the Contract].

NOTE TO SUPERVISOR: Ensure that the employee receives a copy of this service rating at the time of signing.

Appropriate Dean,
Director , or
Department Head

Please leave blank; this will be signed off by
the Office of Faculty & Staff Labor Relations
prior to review with the employee

Questions?



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