

# Introduction

# Classified Performance Appraisals

## Protective Services [NP-5]

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

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**UConn**

# What is a Performance Appraisal?

- Written evaluation of the employee's performance over a specified time period.



# When should they be conducted?

1. Initial or promotional working test period. (Before the end of the working test period)
2. Annually, by October 1<sup>st</sup>. Annual increments are awarded on January 1<sup>st</sup>.
3. As needed:
  - To address specific performance issues
  - To recognize performance improvement
  - To restore annual increase

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?

- August 1 to August 31: Supervisor prepares the performance appraisal (PA) by completing the form.
- September 1 to September 15: Designated command staff review and approve. Make changes if necessary.
- On or before September 15: Completed PA is sent to Labor Relations for review. PA is returned to the supervisor to review with the employee.
- Before October 1<sup>st</sup> the supervisor and the employee review the PA and the employee signs it.
- Before October 1<sup>st</sup> the fully signed PA is sent to Labor Relations for processing and filing in the official personnel record.

# Performance Appraisal 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 Performance Appraisals?

Opportunity for the supervisor to provide employees with a knowledge of their performance over time.

The interview to discuss the PA with the employee should be private, and 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.

# Performance Appraisal Interview

## Reminder:

- Always conduct in private

## Opportunity for manager:

- Set goals for the upcoming year
- Review goals met from past evaluation year
- Provide positive feedback and communicate areas of improvement

## Opportunity for employee:

- 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

# Performance Appraisal vs. Discipline

Performance appraisals 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 performance appraisal.

Instead, performance appraisals:

- Written culmination of an 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 by supervisors 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 performance appraisal?

## 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 performance appraisal that are inconsistent with the rating
- Performance Appraisal 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

# Performance Appraisal

## Initial Working Test Period

- Permanent positions are required to serve an initial six (6) month working test period
- For satisfactory performance - performance appraisal should be filled out not less than two (2) weeks prior to the end of the probationary period.
- Failure to complete evaluation will default employees to permanent
- Crucial for supervisors to address performance 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 and Staff Labor Relations should approve evaluation prior to sharing with the employee.

# Performance Appraisal Promotional Working Test Period

- Employees promoted will serve a 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

# Performance Appraisal

## Working Test Period Extensions

- Extensions
  - Initial & Promotion
  - Extensions do not normally extend beyond three months; may be as long as six (6) months
  - Common Reasons
    - Completing training academy
    - Completing Field Training
    - On a performance improvement plan
  - Requests must be submitted to 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 Performance Appraisal form has been provided to you so that you may review it during this presentation. It is PER-125
- 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 “Good” and 2 levels of “less than good.” Only check one box!
- You will check the appropriate box for each job element, and you may note whether the employee has gotten better, stayed the same or gotten worse over the last year.
- You may add notes in “Other Elements” if there is something special that you want to be part of the record.
- You have questions to answer that provide additional information to the employee.

# Performance Appraisal PER-125 Form, Page 1

<https://hr.uconn.edu/wp-content/uploads/sites/1421/2020/03/PER-125-General-Service-Rating.pdf>

Employee info  
and type of  
performance  
appraisal:



## State of Connecticut Human Resources Performance Appraisal

Form #: PER-125

Revision Date: 8/4/2005

TYPE OF PERFORMANCE APPRAISAL

INITIAL PROBATIONARY       ANNUAL       PROMOTIONAL       OTHER (*Specify*)

EMPLOYEE NAME	CLASS TITLE	DATE
DIVISION	DEPARTMENT	DATE OF LAST REVIEW

**INSTRUCTIONS:** Evaluate the employee on the job now being performed. Mark the box above the horizontal line that most nearly coincides with your overall judgment on each quality. The care and accuracy with which this appraisal is made will determine its value to you, to the employee and to the agency.

Consider the employee's performance since the last appraisal and show by a check (x) whether he/she has regressed, remained the same, or shown improvement in each of the qualities listed to the left.

# Performance Appraisal PER-125 Form, Page 1

Job Elements &  
Ratings:

Tip: at least  
one element  
should be  
checked, and  
only one.

JOB ELEMENTS	GOOD			LESS THAN GOOD		HAS IMPROVED	LITTLE OR NO CHANGE	HAS REGRESSED
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>KNOWLEDGE OF WORK:</b> Consider knowledge of job gained through experience, general education specialized training	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Well informed on all phases of work.	Knowledge thorough enough to perform without assistance.	Adequate grasp of essentials. Some assistance.	Requires considerable assistance.	Inadequate knowledge.	COMMENTS			
<b>QUANTITY OF WORK:</b> Consider the volume of work produced under normal conditions. Disregard errors.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Rapid worker. Unusually large production.	Turns out large volume.	Average.	Volume below average.	Very slow worker.	COMMENTS			
<b>QUALITY OF WORK:</b> Consider neatness, accuracy and dependability of results regardless of volume.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exceptionally accurate, practically no mistakes.	Seldom necessary to check work.	Acceptable, usually neat, occasional errors or rejections.	Often unacceptable, frequent errors or rejections.	Too many errors or rejections.	COMMENTS			
<b>ABILITY TO LEARN NEW DUTIES:</b> Consider the speed with which employee masters new routine and grasps explanations. Consider also ability to retain knowledge.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exceptionally quick at learning and adjusting to changed conditions.	Learns rapidly. Retains instructions.	Average instruction required.	Requires a great deal of instruction.	Very slow at absorbing new routines. Poor memory.	COMMENTS			
<b>INITIATIVE:</b> Consider the tendency to contribute, develop and/or carry out new ideas or methods.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Initiative resulting in frequent saving in time and money.	Resourceful, can meet and handle situations in an efficient and timely manner.	Shows initiative occasionally.	Rarely shows any initiative.	Need constant prodding.	COMMENTS			
<b>COOPERATION:</b> Consider manner of handling work relationships.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Goes out of way to cooperate.	Gets along well with associates.	Acceptable.	Shows reluctance to cooperate.	Very poor cooperation.	COMMENTS			
<b>JUDGMENT:</b> Does employee think intelligently and make decisions in a logical manner.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Thinks quickly, logically outstanding.	Judgment usually logical.	Fairly reliable.	Inclined to be illogical.	Poor, unreliable.	COMMENTS			
<b>OTHER ELEMENTS:</b> Consider other elements of job performance which are not included above, yet are job related, i.e. attendance, physical performance on job, supervisory ability, affirmative action responsibilities. *	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COMMENTS								

*If comments pertaining to supervisory ability are appropriate, ability to delegate authority, to get work done through subordinates, and observance of personnel and affirmative action policies should be considered.*

# Performance Appraisal

## Consequences of “Less Than Good” and “Unsatisfactory” ratings

A “Less Than Good” performance appraisal 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](mailto: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.

# Performance Appraisal

## “Less Than Good” Performance

Before filing a "less than good" performance appraisal, supervisors should call the Office of Faculty and Staff Labor Relations at ext. 5684 or [laborrelations@uconn.edu](mailto: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?

# Performance Appraisal 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) pattern of usage,
  - (3) the employee's past record,
  - (4) the reasons for sick leave use, and
  - (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.

# Performance Appraisal PER-125 Form, page 2

Supervisory feedback  
& overall evaluation  
of employee:

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



State of Connecticut Human Resources

## Performance Appraisal

**INSTRUCTIONS:** *Based on the appraisal you have made on the reverse side, please answer the following questions in your own words*

DO YOU SEE ANY NEED FOR IMPROVEMENT ON THE PREVIOUS FACTORS? (If "Yes", please explain)

Yes     No

IS EMPLOYEE WELL SUITED FOR THE TYPE OF WORK BEING DONE? (If "No", indicate type of work that would appear to be more suitable)

Yes     No

WHAT CONTRIBUTION HAS EMPLOYEE MADE TO DEPARTMENT, DIVISION, OR BUREAU, BEYOND NORMAL REQUIREMENTS OF POSITION?

WHAT WOULD BE YOUR OVERALL EVALUATION OF EMPLOYEE?

Excellent     Good     Satisfactory     Fair     Unsatisfactory

# Overall Rating

- Then you 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.

# Performance Appraisal PER-125 Form, page 2

Signatures:

Supervisor who completes the evaluation.

RATED BY:	SIGNATURE	TITLE	DATE
REVIEWED BY:	SIGNATURE	TITLE	DATE
APPROVED BY:	SIGNATURE	TITLE	DATE
EMPLOYEE	SIGNATURE	TITLE	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.*

Designated command staff

**Please leave blank. Will be signed off by Office of Faculty and Staff Labor Relations.**

# Performance Appraisal PER-125 Form, page 2

Post  
discussion  
notes:

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QUESTIONS TO BE ANSWERED AFTER DISCUSSION OF APPRAISAL WITH EMPLOYEE

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WHAT WAS THE ATTITUDE OF THE EMPLOYEE TOWARD DISCUSSION OF APPRAISAL?

IF IMPROVEMENT IS INDICATED, WHAT SUGGESTIONS HAVE YOU MADE?

REMARK FURTHER COMMENTS YOU MAY HAVE FOR IMPROVEMENT

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CERTIFIED BY:	SIGNATURE	TITLE	DATE
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# Questions

