

CAL POLY CORPORATION

PERFORMANCE EVALUATION

PURPOSE:

- To enhance communication between supervisor and employee
- To inform employee of how s/he is doing in meeting the requirements for her/his position
- To provide a written record of employee performance which can be used as a supporting document for such things as merit salary increases, promotions, training, and disciplinary action when appropriate

Non-Management Salary Plan For Regular-Benefited Employees

OVERVIEW

This is a merit-based evaluation program:

It allows increases for good performance up to the maximum of each range. If an employee is at the maximum of the range, he/she is eligible for a lump sum merit award (0-6%) based on performance. There are 31 grades/salary ranges with a 45% spread between the minimum and the maximum of each range. The midpoint rate is at 50% of the range. Jobs with the same relative value in the market are within the same grade range. See below for an example of a bi-weekly range:

Example:

\$942	\$1,154	\$1,365
Minimum	Midpoint	Maximum

At the Beginning of the Evaluation Period Employee & Supervisor Meet to:

- review position description and evaluation form
- determine most important aspect of the position (using the position description or summarizing on the evaluation form)
- discuss performance expectations of each factor as to what constitutes 100% satisfactory performance
- determine applicable weights to each factor taking the following into consideration:
 - all factors start at 10%
 - additional weight should be added (or taken away) to those factors more important to the position
 - all factors must be weighted at least 5% and the total of all weights should equal 100%
 - supervisor has final authority on weight distribution

The weighted performance evaluation is submitted to the Department Head (or designate) for filing until the review period. A copy must be kept with the supervisor.

Recommended Actions Throughout the Review Period:

1. Both supervisor and employee take weekly notes of performance (high achievement area and areas needing improvement). One sentence is adequate. You may make copies of sample form on reverse for weekly notes of performance.
2. Employee submits weekly notes to supervisor.
3. Both supervisor and employee notes are kept in a file with the supervisor, available for review at any time by both parties.
4. Quarterly reviews should be held to review notes and performance.

Cal Poly Corporation
INSTRUCTIONS FOR PREPARATION OF
NON-MANAGEMENT SALARY PROGRAM
PERFORMANCE EVALUATION FORM

Cal Poly Corporation Human Resources maintains records of the dates that an employee is scheduled for performance evaluations. Generally speaking, non-management salary program employees serving an orientation period are scheduled for performance reviews at the completion of 3 and 6 months* following the date of hire. Thereafter, the employee is evaluated annually on the attached form by the supervisor. The following steps should be taken to ensure the review is properly processed.

Prior to the following steps, the employee should have discussed with the supervisor and agreed upon the appropriate factor weights and the primary responsibilities and expectations on which the evaluation is based. This should have occurred during the last evaluation process and be on file with the appropriate Department Head.

- Step 1** The Cal Poly Corporation Human Resources Manager will notify the Department Head at the beginning of the evaluation period and distribute the new performance evaluation forms by March 15 of each year for the annual review and at least one month in advance of the 3 or 6 month review.
- Step 2** The Department Head will distribute the pre-weighted forms to applicable supervisors for completion and new evaluation forms for discussion of next year's goals.
- Step 3** The supervisors will make and distribute a copy of the pre-weighted, self-evaluation form to the employee(s) for self-evaluation.
- Step 4** Both the supervisor and employee complete evaluation form (self-evaluation optional).
- Step 5** Prior to discussion with the employee, the supervisor must review the evaluation with next level of supervision for content concurrence and for a preliminary rating. Increases must be approved by the Department Head prior to any discussion with employee. Please note, each department may implement additional guidelines regarding approvals. (The 3 & 6 month review evaluations should not be graded for merit purposes unless eligible for a 6 month increase.)
- Step 6** The employee and supervisor meet to discuss the supervisor's and employee's self-evaluation (if necessary, revisions would occur at this point and the supervisor would repeat Step 5). During this meeting, the supervisor should also focus on the performance standards which the employee is to try to achieve during the next rating period and if any changes to the weights are appropriate. This should be noted on the new evaluation form for the next rating period.
- Step 7** The employee has two days to complete employee comment section on supervisor's evaluation if desired.
- Step 8** If necessary, employee and supervisor meet again to discuss employee comments.
- Step 9** Both the supervisor's evaluation and the employee's self-evaluation (if indicated to go to HR) are forwarded to the next level of review up to the Department Head for comments. In doing so, the supervisor should address any concerns raised in the section of the form completed by the employee.
- Step 10** Department Head (or designate) calculates rating and notes applicable merit % on form. Two copies of evaluation form are made, one for the department file and one to be sent to the employee noting the recommended increase. Employee must be aware the increase is only recommended and may be changed based upon available funding and budget constraints.
- Step 11** The Department Head forwards the original evaluations to Human Resources for review. (Project Directors for all Sponsored Project employees should send the reviews to the Sponsored Programs Administrator for review and submission to Human Resources.)
- Step 12** Human Resources reviews the evaluations, verifies the ratings/calculations and prepares the informational report to be submitted to the Board of Directors.
- Step 13** Human Resources notifies the Department Head of merit increases/awards and will process the merit increases based on the completed evaluations.

Any conflict regarding evaluation and/or rating should be resolved prior to submission to Human Resources. Please contact Human Resources for assistance.

Ratings

The supervisor evaluates the employee's performance on the performance rating factors. It is understood that the descriptions under each factor may not be all inclusive and all items may not be appropriate for the individual involved. The employee should be rated accordingly on the most important aspects of the factor to their particular position. The rating which most closely reflects his/her performance should be noted. **To support the evaluation ratings, the supervisor must provide written comments to indicate how well the employee is doing in terms of meeting performance standards.** Specific achievements that are significantly above and beyond an employee's normal job duties, and/or areas of performance requiring improvement, should be particularly noted. The ratings are based on the employee's job description and performance standards which are given to the employee at the beginning of the rating period.

Performance Factor Levels

Definitions for the five levels of each performance factor are:

- Work that is so clearly below expectations that the employee's job is in jeopardy.
- Work that is below expectations, but could be improved with a little more training or effort
- Work that is 100% satisfactory and sometimes more.
- Work that consistently exceeds expectations.
- Work that makes an extraordinary impact or contribution, usually a one-time occurrence that deserves special recognition.

SCHEDULE FOR ANNUAL REVIEW

- Annual Review Period is from April 1 through March 31
- Annual Evaluation Process is from March 15 through May 15 of each year
- All annual evaluations are due in Human Resources by May 15 of each year
- A Merit informational report is made to the Board in June of each year
- Increases/Awards are effective July 1 of each year

ELIGIBILITY FOR ANNUAL REVIEW

Employees must be employed in a benefited position by October 1 of each year.

EMPLOYEES NOT ELIGIBLE FOR ANNUAL REVIEW

Employees hired between October 1 and May 1 of each year are not eligible for an annual review. These employees will receive a 3 and 6 month evaluation and will be included in the annual review the following year as per the schedule listed above. These employees are eligible for a merit increase with the 6-month evaluation.

Self Evaluation: Yes No

For Supervisor Use Only:
 3 mos 6 mos Annual

CAL POLY CORPORATION
PERFORMANCE EVALUATION FOR NON-MANAGEMENT SALARY PLAN EMPLOYEES

EVALUATION DATES
FROM _____ TO _____

Name _____ Title _____ Dept. _____

Please describe the major job duties/responsibilities on which the evaluation is based (no need to complete if the current job description is adequate and the most updated job description is on file in Human Resources):

Instructions: Each factor below is divided into descriptive phrases indicating varying levels of performance. Evaluate each employee on those factors in relation to his/her position. For each factor place an X in the box that most closely describes your observation of the employee's performance over the total rating period. A weighting in increments from 5-25% (5% multiple) should be given to each factor based upon the importance of the factor to the position. No single factor should exceed 25%. Total weights for all factors must equal 100%. Supportive comments must be made for each of the factors.

Performance Factors

1. Quality of Work: Ability to provide neat, accurate and thorough quality work at an appropriate level based on understanding gained through experience, education and training. Adherence to policies and procedures including safety.

_____ %	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Always produces exceptional quality of work. Has comprehensive understanding of all duties and procedures and overall impact to operation.		Seldom makes errors. Produces high quality work. Thorough understanding of duties and procedures.		Makes an acceptable level of errors. Quality of work meets standards. Has good working knowledge of duties and procedures.		Work often needs review. Makes more errors than should based on job knowledge. Slow to grasp details.	Excessive errors and repetitive mistakes are made. Fails to grasp most job assignments after sufficient training.

Comments:

2. Quantity of Work: Ability to produce required volume of work in a timely manner.

_____ %	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Produces an exceptionally high volume of work with speed and accuracy. Always does more than expected		Consistently produces a high quantity of work. A thorough and careful worker. Uses good time management skills.		Produces an average volume of work, sometimes more. Works steadily, uses time effectively.		Production slightly below average. Needs to increase the volume of work produced.	Productivity inadequate.

Comments:

3. Initiative: Competency to start and complete assignments without specific directions; recognize problems and apply or suggest viable solutions; engage in professional growth activities.

_____ %

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Continually identifies ways to improve job and department. Self starter, seeks new duties, makes significant contributions to department and Cal Poly Corporation.	Consistently recommends solutions to problems and for improvements to department and operations.	Exercises good judgment by usually recognizing problems and suggesting solutions; completes assignments independently.	Occasionally exercises good judgment and proceeds without specific direction; sometimes suggests solutions or alternatives to issues.	Puts forth minimum effort; rarely suggests solutions or alternatives.					

Comments:

4. Adaptability/Versatility: Willingness to learn new tasks and adapt to change; establish priorities and handle various tasks simultaneously; perform job under pressure or in critical situations.

_____ %

<input type="checkbox"/>	<input type="checkbox"/>	<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 adaptable. Welcomes new situations positively and as a challenge. Outstanding performance under pressure.	Adjusts quickly to new situations. Eager to learn and try new things. Works very effectively under pressure.	Adaptable and willing to accept new duties or procedures. Able to handle a reasonable amount of pressure in critical situations.	Learns new tasks slowly and has some difficulty prioritizing and handling various assignments simultaneously. Does not work well under pressure.	Unable to learn new tasks. Resists change and cannot adjust from one job to another.					

Comments:

5. Cooperation/Relations: Ability and willingness to cooperate with associates, supervisors and subordinates to accomplish job requirements and meet the customers' needs to ensure the success of the organization.

_____ %

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Substantial success in working with others; outstanding and extremely valuable team member. Continually contributes to the success of the organization.	Promotes harmony in working with others, is a valuable team member and contributes to the success of the organization.	Gets along with others, is a team member and is interested in the success of the organization.	Cooperation with others is usually acceptable. Occasionally has difficulty; needs some improvement.	Ineffective or uncooperative in working with others. Reluctant or unwilling to accept assignments.					

Comments:

6. Dependability: The extent that the employee can be relied upon to complete work assignments well and on time; willingness to work on when needed and conscientiousness with respect to attendance and punctuality.

_____ %

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Always does more than expected on assigned tasks and completes early with no supervision.	Consistently completes tasks early and results are beyond expectations with limited supervision.	Takes care of necessary tasks and completes within established timelines with minimal supervision. Regular and full-time attendance.	Usually completes tasks timely, sometimes requires prompting and supervision. Frequent absences and poor punctuality.	Often requires prompting to complete specific tasks. Requires close supervision. Very erratic attendance and tardiness problems.					

Comments:

7. Communication Skills: Ability to effectively transmit ideas, thoughts, and information clearly and concisely to others in oral and written form.

_____ %

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Outstanding ability to communicate ideas and thoughts to others.	Consistently able to express ideas and thoughts to others in a clear and concise manner.	Usually organizes and expresses ideas and thoughts clearly and concisely.	Has difficulty communicating ideas and thoughts in some circumstances.	Unable to express ideas and thoughts clearly.			

Comments:

8. Supervision/Leadership Skills: Ability to plan, organize and control work activities; train, motivate and maintain morale; evaluate performance and communicate at all levels.

_____ %

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Exceptional ability to plan and control work activities. Respected by others and generates a high degree of cooperation. Exhibits a positive image and acts as a role model to others while improving morale.	Very effective in establishing priorities. Capable and consistent leader. Motivates others and consistently seeks ways to improve morale and present a positive image.	Motivates others and meets routine schedules. Is a good role model and helps maintain a positive morale.	Has some difficulty in planning ahead, motivating and developing others. Usually behind schedule; poor role model.	Unable to plan, delegate, and organize effectively. Does not exhibit positive morale or motivation.			

Comments:

General Comments on specific areas of achievement and/or areas needing improvement:

Recommended Action for Development and Goals for the next rating period:

Supervisor's Signature	Date
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Comments:

Next level Reviewer's Signature	Date
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Comments:

Department Head's /SPA's Signature	Date
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Employee Comments - This section should be used to provide feedback to your supervisor on what can be done to assist you in performing your job. For example training or equipment needed, safety issues, improvements to policies or procedures necessary, etc.

Comments:

This performance evaluation has been completed to assist you in your job performance and development. Your signature does not necessarily imply that you agree with the comments or rating, but that your supervisor has reviewed the document with you.

Employee's Signature	Date	Do you want your self evaluation sent to HR? Yes <input type="checkbox"/> No <input type="checkbox"/> Not Applicable <input type="checkbox"/>
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For Dept. Head Use Only	Current Rate	:	_____
1. Weight	Rating	=	
2. Weight	Rating	=	
3. Weight	Rating	=	
4. Weight	Rating	=	
5. Weight	Rating	=	
6. Weight	Rating	=	
7. Weight	Rating	=	
8. Weight	Rating	=	
Total	100	=	
Merit Increase		=	

New Rate _____ Effective _____

CAL POLY CORPORATION
PERFORMANCE EVALUATION FOR NON-MANAGEMENT SALARY PLAN EMPLOYEES

KEY

Performance Factors

1. Quality of Work: Ability to provide neat, accurate and thorough quality work at an appropriate level based on understanding gained through experience, education and training. Adherence to policies and procedures including safety.

_____ %	8	7	6	5	4	3	2	1	0
	Always produces exceptional quality of work. Has comprehensive understanding of all duties and procedures and overall impact to operation.		Seldom makes errors. Produces high quality work. Thorough understanding of duties and procedures.		Makes an acceptable level of errors. Quality of work meets standards. Has good working knowledge of duties and procedures.		Work often needs review. Makes more errors than should based on job knowledge. Slow to grasp details.		Excessive errors and repetitive mistakes are made. Fails to grasp most job assignments after sufficient training.

2. Quantity of Work: Ability to produce required volume of work in a timely manner.

_____ %	8	7	6	5	4	3	2	1	0
	Produces an exceptionally high volume of work with speed and accuracy. Always does more than expected		Consistently produces a high quantity of work. A thorough and careful worker. Uses good time management skills.		Produces an average volume of work, sometimes more. Works steadily, uses time effectively.		Production slightly below average. Needs to increase the volume of work produced.		Productivity inadequate.

3. Initiative: Competency to start and complete assignments without specific directions; recognize problems and apply or suggest viable solutions; engage in professional growth activities.

_____ %	8	7	6	5	4	3	2	1	0
	Continually identifies ways to improve job and department. Self starter, seeks new duties, makes significant contributions to department and Cal Poly Corporation.		Consistently recommends solutions to problems and for improvements to department and operations.		Exercises good judgment by usually recognizing problems and suggesting solutions; completes assignments independently.		Occasionally exercises good judgment and proceeds without specific direction; sometimes suggests solutions or alternatives to issues.		Puts forth minimum effort; rarely suggests solutions or alternatives.

4. Adaptability/Versatility: Willingness to learn new tasks and adapt to change; establish priorities and handle various tasks simultaneously; perform job under pressure or in critical situations.

_____ %	8	7	6	5	4	3	2	1	0
	Exceptionally adaptable. Welcomes new situations positively and as a challenge. Outstanding performance under pressure.		Adjusts quickly to new situations. Eager to learn and try new things. Works very effectively under pressure.		Adaptable and willing to accept new duties or procedures. Able to handle a reasonable amount of pressure in critical situations.		Learns new tasks slowly and has some difficulty prioritizing and handling various assignments simultaneously. Does not work well under pressure.		Unable to learn new tasks. Resists change and cannot adjust from one job to another.

5. Cooperation/Relations: Ability and willingness to cooperate with associates, supervisors and subordinates to accomplish job requirements and meet the customers' needs to ensure the success of the organization.

_____ %	8	7	6	5	4	3	2	1	0
	Substantial success in working with others; outstanding and extremely valuable team member. Continually contributes to the success of the organization.		Promotes harmony in working with others, is a valuable team member and contributes to the success of the organization.		Gets along with others, is a team member and is interested in the success of the organization.		Cooperation with others is usually acceptable. Occasionally has difficulty; needs some improvement.		Ineffective or uncooperative in working with others. Reluctant or unwilling to accept assignments.

6. Dependability: The extent that the employee can be relied upon to complete work assignments well and on time; willingness to work on when needed and conscientiousness with respect to attendance and punctuality.

_____ %	8	7	6	5	4	3	2	1	0
	Always does more than expected on assigned tasks and completes early with no supervision.		Consistently completes tasks early and results are beyond expectations with limited supervision.		Takes care of necessary tasks and completes within established timelines with minimal supervision. Regular and fulltime attendance.		Usually completes tasks timely, sometimes requires prompting and supervision. Frequent absences and poor punctuality.		Often requires prompting to complete specific tasks. Requires close supervision. Very erratic attendance and tardiness problems.

7. Communication Skills: Ability to effectively transmit ideas, thoughts, and information clearly and concisely to others in oral and written form.

_____ %	8	7	6	5	4	3	2	1	0
	Outstanding ability to communicate ideas and thoughts to others.		Consistently able to express ideas and thoughts to others in a clear and concise manner.		Usually organizes and expresses ideas and thoughts clearly and concisely.		Has difficulty communicating ideas and thoughts in some circumstances.		Unable to express ideas and thoughts clearly.

8. Supervision/Leadership Skills: Ability to plan, organize and control work activities; train, motivate and maintain morale; evaluate performance and communicate at all levels.

_____ %	8	7	6	5	4	3	2	1	0
	Exceptional ability to plan and control work activities. Respected by others and generates a high degree of cooperation. Exhibits a positive image and acts as a role model to others while improving morale.		Very effective in establishing priorities. Capable and consistent leader. Motivates others and consistently seeks ways to improve morale and present a positive image.		Motivates others and meets routine schedules. Is a good role model and helps maintain a positive morale.		Has some difficulty in planning ahead, motivating and developing others. Usually behind schedule; poor role model.		Unable to plan, delegate, and organize effectively. Does not exhibit positive morale or motivation.

RATING	MERIT %
0-3.49	0%
3.5-3.75	1%
3.76-3.99	2%
4-4.49	2.5%
4.5-4.99	3%
5-5.49	3.5%
5.5-5.99	4%
6-6.49	4.5%
6.5-6.99	5%
7-8	6%

Factor % x Performance Level number = rating

Add ratings for all eight factors to determine overall rating for above merit increase.