

RATING AND REVIEW PROCESS - CSEA REPRESENTED EMPLOYEES

I. ROLES

The supervisor is generally the person most familiar with the employee's work and, therefore, is in the best position to evaluate day-to-day performance. This is the individual who usually assigns and reviews the employee's work. The supervisor has the responsibility for developing a performance program for the employee and recommending a rating. When an employee changes supervisors, the rating is done by the person who supervises the employee at the end of the evaluation period.

In the interest of fairness and objectivity, where a potential conflict of interest exists between the supervisor and employee, agency management may direct the next level of supervision to conduct the performance appraisal. Examples of potential conflict may include supervisors who are not State employees or provisionally appointed supervisors in the same promotional field as the employee. In general, however, there is no prohibition in the ASU/OSU/ISU/DMNA units against a provisionally appointed supervisor evaluating an employee. It is recommended that when a provisional supervisor is in the direct line of promotion of an employee, the responsibility for evaluating the employee be assigned to the next higher level of supervision.

The reviewer is generally the first level of management in direct line above the supervisor and is typically in a position designated Management/Confidential (M/C). Where this is not the case, an M/C employee must be given ultimate responsibility as the reviewer, but may delegate this task to a non-M/C employee. The reviewer is responsible for ensuring that the appraisal process has been conducted thoroughly and in a manner consistent with the objectives of the program. This includes reviewing evaluations to ensure that tasks, objectives, and standards have been applied appropriately and equitably by each supervisor under his or her direction, resulting in ratings that appropriately describe the levels of employee performance throughout the work unit.

II. PROCESS OVERVIEW

Supervisors should complete the following steps during the performance evaluation rating period (see Appendix for copy of the CSEA Annual Performance Evaluation Form).

Step 1

At the start of the evaluation period, the supervisor completes Section 1, "Employee Identification" and Section 2A, the "Performance Program" portion of the evaluation form, listing the important tasks and objectives of the job and the standards by which the employee's performance will be evaluated.

Step 2

The supervisor arranges a meeting with the employee to discuss the performance program. At the meeting the supervisor provides a copy of the performance program for review, and may consider the employee's comments or suggestions regarding the performance program.

Step 3

The supervisor observes and informally reviews the employee's performance throughout the evaluation period, providing feedback and/or counseling when appropriate.

Step 4

Mid-Point Six-Month Review: Although optional, it is recommended that the six-month review be completed by the supervisor. At this time, the supervisor meets with the employee for an interim appraisal and informs the employee of how performance has compared with expectations. The supervisor also articulates the employee's strengths, and if there are any improvement opportunities, the supervisor should propose suggestions on how the employee can improve before the final evaluation.

Step 5

Near the end of the evaluation period (one month before is recommended), the supervisor completes sections 2B, 4, 5, and 6, describing the employee's performance in accomplishing the tasks specified in Section 2A, and whether the employee has met, exceeded, or failed to meet expectations.

Step 6

The supervisor conducts an appraisal interview with the employee. The meeting should take place approximately two weeks before the end of the evaluation period to allow time for the supervisor to recommend a rating and forward the recommendation to the designated reviewer for approval.

***NOTE:** This appraisal discussion does not deal with any rating of the employee. It is intended to be a constructive exchange relative to the individual's past performance, improvement opportunities, and future expectations. It offers a chance for the supervisor and the employee to discuss their observations about the employee's performance and to clarify any differences in perception before the supervisor records the formal, written performance appraisal.*

Step 7

The supervisor completes the performance appraisal and recommends a rating, including documentation to support any "Unsatisfactory" rating. The appraisal is forwarded to the reviewer.

Step 8

The reviewer reviews the appraisal and approves it, modifies it, or requires additional documentation. The reviewer should consult the supervisor regarding any changes to the proposed evaluation.

Step 9

The supervisor discusses the approved appraisal and rating with the employee and gives the employee a copy. At this time both the supervisor and employee sign and date the evaluation form. The supervisor gives the employee a copy of the Performance Evaluation and the original is forwarded to the employee's personnel file.

Ideally, all steps should be completed by the employee's performance evaluation anniversary date.

Step 10

The supervisor begins the process again for the next rating period.