

**PERFORMANCE APPRAISAL PROGRAM
FOR
PROFESSIONAL/ADMINISTRATIVE EMPLOYEES**

**ARIZONA WESTERN COLLEGE
YUMA, ARIZONA
February 2013**

PERFORMANCE APPRAISAL

INTRODUCTION

The full time Professional/Administrative appraisal process is intended to be an integral part of the growth and development of Arizona Western College employees. It is also used as a component for continuous review of and strategic planning for employee performance. It is the living document that can be retrieved by employees and supervisors as a tool to meeting performance and development goals.

The performance appraisal *process* provides time for strategic planning, gathering data, reporting progress, defining and clarifying outcomes, and continually re-evaluating and re-defining employee expectations and goals.

The process is intended to be a dynamic interchange of facts and ideas between the supervisor and employee. Completed appraisal documents are then forwarded to Human Resources for permanent storage with the employee files.

APPRAISAL PROCESS

1. The Office of Human Resources will upload personalized Employee Performance Appraisal Form (Form A) and Job Description of each employee to corresponding supervisor via Blackboard.
2. It is the supervisor's responsibility to distribute the following forms to the employee and to schedule the date and time of the Performance Appraisal Conference:
 - 2.1 One copy of the employee's job description.
 - 2.2 One copy of Employee Performance Appraisal Form (Form A)
3. Before the Performance Appraisal Conference, the employee and supervisor each prepare a draft of Employee Performance Appraisal Form (Form A), circling ratings which best reflect their judgment of the employee's work performance. (An additional copy of Form A is used for the final appraisal document).
4. The employee and the supervisor meet for the scheduled Performance Appraisal Conference, discuss the various ratings, and together prepare the final Performance Appraisal Document. If required, a copy of the Performance Development Plan should be obtained by the supervisor from the Office of Human Resources and be completed at the Appraisal Conference. If agreement on the final Performance Appraisal Document is not possible, the supervisor's ratings shall supersede those of the employee, and the employee can provide comments on the Appraisal Document in the section provided. (**See Unresolved Differences of Opinion**).
 - 4.1 The supervisor finalizes all documents by signing and giving them to the employee for signature.
 - 4.2 The employee acknowledges review of, but not necessarily agreement with, the contents of the final appraisal document by signing and returning the signed document to the supervisor.
5. The supervisor routes the final, signed document through the recognized chain of command to the appropriate Vice President for review and signature(s). The completed document is then submitted to the Office of Human Resources.
6. The Office of Human Resources will place the original copy of the final Performance Appraisal in the employee's personnel file. Copies will be made available to the appropriate persons upon request.

NOTE: In completing Employee Performance Appraisal Form (Form A), the following should be considered:

- Each area of the form must be completed
- Ratings are based on demonstrated, observable behaviors.
- General comments are required for each area being appraised and specific comments are mandatory for all ratings above or below 3.
- The supervisor will assess the employee's performance only for the appraisal period under review.
- The section designated "overall comments and recommendations" should take into consideration all evaluations of the employee's work performance, including the supervisor's assessment and the employee's self-ratings.

7. Except in unusual circumstances, completed annual appraisals are submitted to the Office of Human Resources no later than **March 1 of each year**. Additional appraisals may be conducted at any time for any classification of Administrative/Professional employee at the request of either the supervisor or the employee. Failure to conduct a performance appraisal or errors in the appraisal process, do not result in an automatic right to continuation or renewal of employment.

APPRAISAL STATUS

Based on the results of the Performance Appraisal Conference, two general categories of performance are recognized:

Satisfactory Performance Appraisal

An overall Satisfactory Performance Appraisal requires no further action by the employee or the supervisor.

Unsatisfactory Performance Appraisal

Any 2 of the 5 categories marked as “unsatisfactory” (number 1 on the Job Performance Rating Scale) will result in an Unsatisfactory Performance Rating for the employee. Any 3 of the 5 categories marked as “needing improvement” (number 2 on the Job Performance Rating Scale) may result in an Unsatisfactory Performance Rating for the employee.

Continuing Professional/Administrative Employees who receive an unsatisfactory performance rating will be placed on intensive review. A formal written Performance Development Plan and established timelines for further progress reviews during the Intensive Review period as well as at the end of the Intensive Review Period will be established. Each Professional/Administrative Employee on Intensive Review will be reappraised as stated by the timelines in the Performance Development Plan.

Probationary Professional/Administrative Employees who receive an unsatisfactory performance rating are not placed on intensive review as their probationary period constitutes their review. Probationary employees are evaluated semi-annually during the probation period so as to provide clear and frequent feedback with regard to performance expectations.

Intensive Review

Intensive review is a special review status applicable to continuing Professional/Administrative employees upon notification of unsatisfactory contractual performance. Intensive Review shall be for a time period of not less than three months, nor for more than six months as determined by the employee’s supervisor. A Professional/Administrative Employee who does not successfully address and correct unsatisfactory performance at the end of the Intensive Review Period may be recommended for non-renewal of contract.

UNRESOLVED DIFFERENCES OF OPINION

Three processes for solving differences of opinion are available:

1. Additional comments from the employee may be noted on a separate sheet to be attached to the Performance Appraisal document.
2. A further process of informal review may be requested by either party.
 - An employee may initiate this review by notifying the supervisor and the Director of Human Resources of his/her desire for a review of the appraisal.
 - The Director of Human Resources will schedule a meeting and, if deemed appropriate, provide materials to each party prior to the meeting.
 - The employee, one employee “advocate” chosen by the employee, the supervisor, the supervisor’s supervisor, and the Director of Human Resources, acting as a facilitator, shall attempt to reach resolution.
 - If acceptable resolution is reached, an amended Performance Appraisal document will be prepared for signature.
 - If resolution is not reached, the supervisor’s appraisal is binding.

DEFINITION OF TERMS

EMPLOYEE STATUS

Full-Time Professional/Administrative Employee: An employee whose name appears annually on the District Governing Board's Appointment Recommendation List of Professional Administrative employee and who works a minimum of 37 hours per week on a continuing basis.

- **Probationary Professional/Administrative Employee:** A Professional/Administrative employee who has not been offered or accepted a fourth consecutive full-time contract.
- **Continuing Professional/Administrative Employee:** A Professional/ Administrative employee who has worked on a continuing basis, and who has been offered and accepted a fourth consecutive full-time contract.

APPRAISAL DOCUMENTS

Employee Performance Appraisal Form (Form A): The form used to review and document employee performance.

Performance Development Plan (Form B): A form used as a performance guide by the supervisor and employee that identifies strategies and measurements for improved employee performance. The Performance Development Plan is mandatory for employees who have received unsatisfactory performance ratings.

GENERAL TERMS

Appraisal Period: The Continuing Professional/Administrative Employee is appraised annually for the period encompassing the calendar year. The Probationary Professional/Administrative Employee is appraised after six months of employment and then in accordance with the annual appraisal schedule. For continuing Professional/Administrative employees on Intensive Review, the appraisal period may be designated in the Performance Development Plan (Form B).

Immediate Supervisor: The person to whom the employee directly reports, who assigns work, and who conducts the Performance Appraisal.

Performance Appraisal Conference: The conference between the employee and the supervisor to discuss the employee's job performance, to plan for the future, and to prepare the performance appraisal document.

Position Description: The official description of the duties, tasks, and responsibilities of the position.

**ARIZONA WESTERN COLLEGE
INTENSIVE REVIEW
AND THE
PERFORMANCE DEVELOPMENT PLAN
FORM B**

Instructions

Intensive Review is applicable to continuing Professional/Administrative employees upon notification of unsatisfactory contractual performance. Intensive Review shall be for a time period of not less than three months, nor for more than six months as determined by the employee's supervisor.

Although a supervisor may utilize additional tools and documents to address performance improvement, the Performance Development Plan is a mandatory component of the Intensive Review process. The Performance Development Plan serves as a guide whereby the supervisor and employee can identify strategies and measurements targeted for improved employee performance. In addition to the written objectives and strategies, the form includes dates for the completion of each objective and a date when the employee's progress will be reviewed. Employees undergoing Intensive Review will be responsible to maintain records verifying completion of objectives or strategies documented in their Performance Development Plan as appropriate.

To begin the Intensive Review, the Performance Development Plan is jointly developed between the supervisor and the employee. If agreement between the supervisor and employee cannot be reached, the supervisor shall establish the Performance Development Plan and schedule further appraisals. During the Intensive Review period, a mid-way review will be required as well as a final review that will be conducted at the designated end of the Intensive Review period. A continuing Professional/Administrative Employee who does not successfully address and correct unsatisfactory performance at the end of the Intensive Review period may be recommended for non-renewal of contract.

**ARIZONA WESTERN COLLEGE
INTENSIVE REVIEW/ PERFORMANCE DEVELOPMENT PLAN
FORM B**

Employee Name: _____ Date _____

Dates of Evaluation from _____ to _____

Dates of Review from _____ to _____

Remarks:

Objective 1: _____

Strategies _____

Measurable Outcomes (Opt.) _____ Completion Date: _____

Objective 2: _____

Strategies _____

Measurable Outcomes (Opt.) _____ Completion Date: _____

Objective 3: _____

Strategies _____

Measurable Outcomes (Opt.) _____ Completion Date: _____

Supervisor's Signature

Employee's Signature

Mid Date Review: _____

(Employee's signature does not necessarily imply agreement, only acknowledgement of the instated Performance Development Plan.)