



## OFFICE OF THE PRESIDENT

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MEMO TO: Professional Employees  
Supervisors of Professional Employees

FROM: Dr. John Ettling  
College President

Karen Volkman  
UUP Chapter President

SUBJECT: Performance Review Calendars for Professional Employees for 2015-16

The Performance Review Calendars for Professional Employees for 2015-16 are included in this packet, along with other materials necessary for these evaluations.

These calendars are in accordance with the negotiated *Agreement on Performance Review of Professional Employees*. Additional copies of the Agreement document can be obtained from Human Resource Services (ext. 5062) and on UUP's website at <http://www.uuphost.org/plattsburgh/>.

**Cycles 1-4 are for employees on term appointments who will require notice of renewal at some point in 2016.** For your information, a copy of the provisions for notice of renewal contained in the *Policies of the Board of Trustees* is included in this packet.

**All employees with permanent appointments undergo annual review and will be evaluated in the spring semester following cycle 5.** Employees in this category do not require notice of renewal.

**All employees with term appointments and College Year Obligations of 8/15 – 6/15 will be evaluated in Cycle 3, provided that meets Notice of Renewal requirements.**

**Professional employees with multi-year term appointments (including Appendix A, B, and C Calendar Year appointments) who might not require notice of renewal during 2015-16 college year, must still undergo annual review, also following cycle 5.**

**Evaluations for Appendix A-28 promotions/salary increases follow cycle 6 or 7.** Employees undergoing annual review (cycle 5), who are also requesting review for Appendix A-28 promotions/salary increases, need only submit one review file, but a separate transmittal sheet is required for each personnel action. Appendix A-28 E(2)(d) applications for promotion which are disapproved may not be resubmitted for a period of either eighteen (18) months, or until the employee's performance program has changed.

**Employees with temporary appointments should consult with their immediate supervisor and the Human Resource Services Office to determine the appropriate cycles for their evaluations.**

Any other questions regarding the performance review process should also be directed to Human Resource Services.

For Reappointment, Permanent Appointment, Promotion and Salary Increase, the following materials are forwarded to the President (\*minimally) with the CP-3 with the appropriate appointment action taken:

- VP's recommendation on the appointment transaction

Include language: "should a reappointment be deemed appropriate to the operating requirements of the college in accordance with Board of Trustees Policy, Article XI, §1 and Article XII, §2"

- Immediate Supervisor's memo
- VP's evaluation statement
- Evaluative transmittal form
- Inventory sheet
- Record of access to file
- Professional employee performance program cover sheet & performance program
- Letter of reappointment or non-renewal (created by HRS)

NOTE: President may request the complete evaluation file for review.

For Annual Review with Optional Review, the above documents are forwarded to the President. If the Annual Review is satisfactory or the employee has not requested optional review for an unsatisfactory, no action is required by the President.

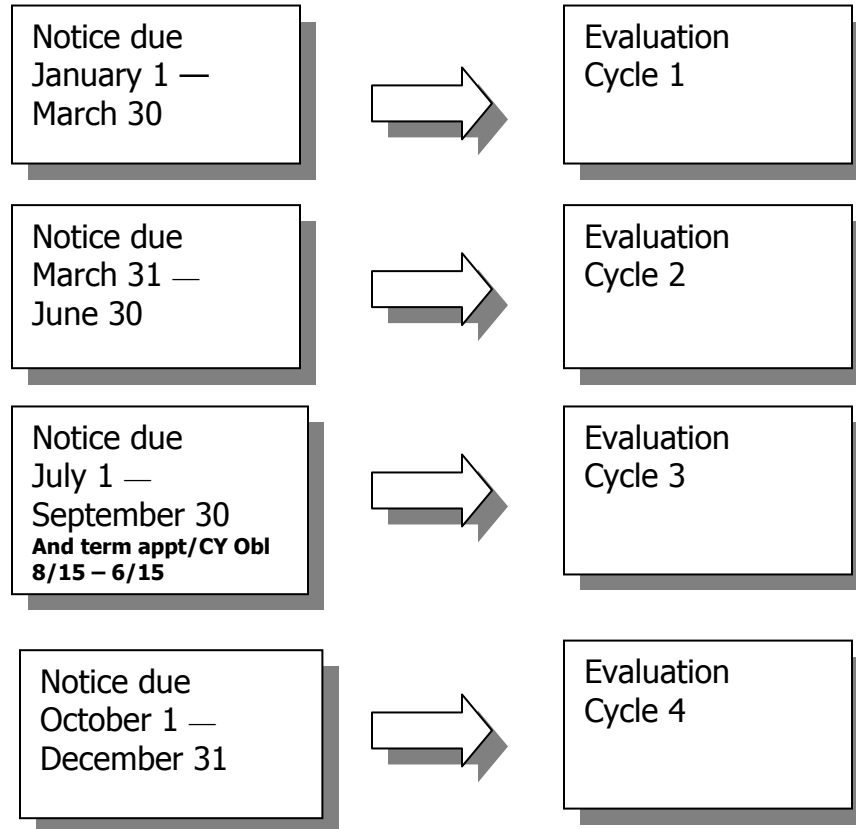
The evaluative documents listed above are forwarded to HRS for electronic filing. The documents are then returned to the appropriate VP's office. The remaining portions of the evaluative file are returned to the submitter by the Vice President's office after the President's Final Review date. The CP-3 and appointment letter are processed at the same time the Vice President's recommendation is submitted to the President. The appointment letter is not issued until the CP-3 has received all approvals. This must occur by the employee's Notice of Renewal date so must be processed timely.

The immediate supervisor prepares the evaluative statement in a memo format to the employee with a copy to the Evaluative File. The immediate supervisor prepares the new performance program. Subsequent reviewers (Dean and Vice President) prepare a memo to the next reviewer with a copy to the employee and the Evaluative File. When there is more than one appropriate transmittal form, separate memos should be issued to address each of the requests (e.g. one for reappointment, another for salary increase).

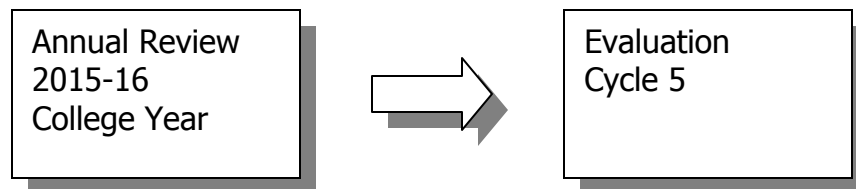
# GUIDE FOR DETERMINING THE APPROPRIATE EVALUATION CYCLE FOR YOUR NEXT EVALUATION

Professional employees are urged to consult with their immediate supervisor and Human Resource Services in determining the appropriate evaluation cycle.

For professional employees with term appointments requiring notice of renewal during calendar year 2016

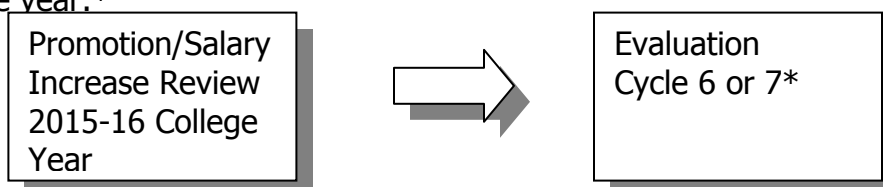


For professional employees with permanent appointments and \*others requiring annual review during the 2015-16 college year:



*Professional employees with multi-year term appointments (including Appendix A, B, and C Calendar Year appointments) who do not require notice of renewal during the 2015-16 college year must still undergo annual review.*

For professional employees requesting review for Appendix A-28 promotions/salary increases during the 2015-16 college year:\*



Note: Cycle 7 is introduced in 2015/16 at the request of UUP as a pilot. Evaluation of its effectiveness will determine if it is to be continued.

PERFORMANCE REVIEW CALENDARS FOR PROFESSIONAL EMPLOYEES REQUIRING NOTICE OF RENEWAL DURING PERIOD JANUARY 1 - DECEMBER 31, 2016

Step	Action	File Location	Cycle 1 (Notice Due 1/1-3/30)	Cycle 2 (Notice Due 3/31-6/30)	Cycle 3 (Notice Due 7/1-9/30)	Cycle 4 (Notice Due 10/1-12/31)
1	Employee submits file (see note below on Secondary Reviewers)	Immediate Supervisor	10/1/15 (Thursday) 9 am	1/4/16 (Monday) 9 am	4/4/16 (Monday) 9 am	7/1/16 (Friday) 9 am
2	Review by Immediate Supervisor	Immediate Supervisor	start: 10/1 (Thursday) 9 am end: 10/12 (Monday) 4 pm	start: 1/4 (Monday) 9 am end: 1/11 (Monday) 4 pm	start: 4/4 (Monday) 9 am end: 4/11 (Monday) 4 pm	start: 7/4 (Monday) 9 am end: 7/11 (Monday) 4 pm
	Employee may respond to Immediate Supervisor's recommendation	Immediate Supervisor	start: 10/13 (Tuesday) 9 am end: 10/16 (Friday) 4 pm	start: 1/12 (Tuesday) 9 am end: 1/15 (Friday) 4 pm	start: 4/12 (Tuesday) 9 am end: 4/15 (Friday) 4 pm	start: 7/12 (Tuesday) 9 am end: 7/15 (Friday) 4 pm
3	Review by Dean, if any	Dean	start: 10/19 (Monday) 9 am end: 11/06 (Friday) 4 pm	start: 1/18 (Monday) 9 am end: 2/5 (Friday) 4 pm	start: 4/18 (Monday) 9 am end: 5/6 (Friday) 4 pm	start: 7/18 (Monday) 9 am end: 8/05 (Friday) 4 pm
	Employee may respond to Dean's recommendation, if any	Dean	start: 11/09 (Monday) 9 am end: 11/12 (Thursday) 4 pm	start: 2/8 (Monday) 9 am end: 2/11 (Thursday) 4 pm	start: 5/09 (Monday) 9 am end: 5/12 (Thursday) 4 pm	start: 8/08 (Monday) 9 am end: 8/11 (Thursday) 4 pm
3a	Deadline for employee to initiate optional review by Committee on Professional Evaluation	Human Resource Svcs	11/12 (Thursday) 4 pm	2/11 (Thursday) 4 pm	5/12 (Thursday) 4 pm	8/11 (Thursday) 4 pm
	Review by Committee on Professional Evaluation, if any	Human Resource Svcs	start: 11/13 (Friday) 9 am end: 12/04 (Friday) 4 pm	start: 2/12 (Friday) 9 am end: 3/4 (Friday) 4 pm	start: 5/13 (Friday) 9 am end: 6/3 (Friday) 4 pm	start: 8/12 (Friday) 9 am end: 9/3 (Friday) 4 pm
	Employee may respond to Committee on Professional Evaluation's recommendation, if any	Human Resource Svcs	start: 12/07 (Monday) 9 am end: 12/09 (Wednesday) 4 pm	start: 3/7 (Monday) 9 am end: 3/9 (Wednesday) 4 pm	start: 6/6 (Monday) 9 am end: 6/8 (Wednesday) 4 pm	start: 9/5 (Monday) 9 am end: 9/7 (Wednesday) 4 pm
4	Review by Provost/Vice President, if any (without optional review)	Provost/VP	start: 11/13 (Friday) 9 am end: 12/8 (Monday) 4 pm	start: 2/12 (Friday) 9 am end: 3/7 (Monday) 4 pm	start: 5/13 (Friday) 9 am end: 6/7 (Monday) 4 pm	start: 8/12 (Friday) 9 am end: 9/6 (Monday) 4 pm
	Employee may respond to Provost/Vice President's recommendation, if any (without optional review)	Provost/VP	start: 12/8 (Tuesday) 9 am end: 12/11 (Friday) 4 pm	start: 3/8 (Tuesday) 9 am end: 3/11 (Friday) 4 pm	start: 6/7 (Tuesday) 9 am end: 6/10 (Friday) 4 pm	start: 9/6 (Tuesday) 9 am end: 9/9 (Friday) 4 pm
	Review by Provost/Vice President, if any (with optional review)	Provost/VP	start: 12/10 (Thursday) 9 am end: 12/11 (Friday) 4 pm	start: 3/10 (Thursday) 9 am end: 3/11 (Friday) 4 pm	start: 6/9 (Thursday) 9 am end: 6/10 (Friday) 4 pm	start: 9/8 (Thursday) 9 am end: 9/9 (Friday) 4 pm
	Employee may respond to Provost/Vice President's recommendation, if any (with optional review)	Provost/VP	start: 12/14 (Monday) 9 am end: 12/16 (Wednesday) 4 pm	start: 3/14 (Monday) 9 am end: 3/16 (Wednesday) 4 pm	start: 6/13 (Monday) 9 am end: 6/15 (Wednesday) 4 pm	start: 9/12 (Monday) 9 am end: 9/14 (Wednesday) 4 pm
5	Review by President and President's decision/notification (without optional review)	Provost/VP	start: 12/14 (Monday) 9 am end: Employee's NOR date	start: 3/14 (Monday) 9 am end: Employee's NOR date	start: 6/13 (Monday) 9 am end: Employee's NOR date	start: 9/12 (Monday) 9 am end: Employee's NOR date
	Review by President and President's decision/notification (with optional review)	Provost/VP	start: 12/17 (Thursday) 9 am end: 12/18 (Friday) 4 pm	start: 3/17 (Thursday) 9 am end: 3/18 (Friday) 4 pm	start: 6/16 (Thursday) 9 am end: 6/17 (Friday) 4 pm	start: 9/15 (Thursday) 9 am end: 9/16 (Friday) 4 pm

Notes:

1. Immediate Supervisor collects written recommendations from Secondary Reviewers, if any, as described in the Agreement on Performance Review of Professional Employees (Article 6, p. 16).
2. Step 3a: Optional review by Committee on Professional Evaluation applies only where an evaluation report is characterized as "unsatisfactory." The timetable for this review is in accordance with the provisions of the Memorandum of Understanding (see Agreement, Article 4, pp. 7-11). Requests for optional review must be filed in the Human Resource Services Office by the deadline indicated above. If the professional employee does not elect optional review, skip step 3a and subsequent shaded sections in column.
3. For purposes of determining the correct cycle for evaluation, special attention must be paid to the "Notice" requirements established in the Policies of the Board of Trustees (Article XI, Title D, section 5). Professional employees are urged to consult with their immediate supervisors and the Human Resource Services Office in determining applicable notice dates and corresponding evaluation cycles.

**PERFORMANCE REVIEW CALENDARS FOR PROFESSIONAL EMPLOYEES REQUIRING ANNUAL REVIEW (CYCLE 5)  
AND/OR REQUESTING APPENDIX A-28 PROMOTION/SALARY INCREASE REVIEW (CYCLE 6 or 7) DURING 2015-16 COLLEGE YEAR**

<b>Step</b>	<b>Action</b>	<b>File Location</b>	<b>Cycle 5 (Annual Review)</b>	<b>Cycle 6 (Appendix A-28 Promotion/Salary Increase)</b>	<b>Cycle 7 (Appendix A-28 Promotion/Salary Increase)</b>
1	Employee submits file (see note below on Secondary Reviewers)	Immediate Supervisor	1/11/2016 (Monday) 9 am	1/11/2016 (Monday) 9 am	7/11/2016 (Monday) 9 am
2	Review by Immediate Supervisor	Immediate Supervisor	start: 1/11 (Monday) 9 am end: 1/29 (Friday) 4 pm	start: 1/11 (Monday) 9 am end: 1/29 (Friday) 4 pm	start: 7/11 (Monday) 9 am end: 7/29 (Friday) 4 pm
	Employee may respond to Immediate Supervisor's recommendation	Immediate Supervisor	start: 2/1 (Monday) 9 am end: 2/4 (Thursday) 4 pm	start: 2/1 (Monday) 9 am end: 2/4 (Thursday) 4 pm	start 8/1 (Monday) am end 8/4 (Thursday) 4 pm
3	Review by Dean, if any	Dean	start: 2/05 (Friday) 9 am end: 2/26 (Friday) 4 pm	start: 2/05 (Friday) 9 am end: 2/26 (Friday) 4 pm	start: 8/5 (Friday) 9 am end: 8/26 (Friday) 4 pm
	Employee may respond to Dean's recommendation, if any	Dean	start: 2/29 (Monday) am end: 3/04 (Friday) 4 pm	start: 2/29 (Monday) am end: 3/04 (Friday) 4 pm	start: 8/29 (Monday) 9 am end: 9/2 (Friday) 4 pm
3a	Deadline for employee to initiate optional review by Committee on Professional Evaluation	Human Resource Serv	3/4 (Friday) 4 pm	Not applicable. Step 3a is not part of review process for Appendix A-28 promotions/salary increases.	Not applicable. Step 3a is not part of review process for Appendix A-28 promotions/salary increases.
	Review by Committee on Professional Evaluation, if any	Human Resource Serv	start: 3/7 (Monday) 9 am end: 4/8 (Friday) 4 pm		
	Employee may respond to Committee on Professional Evaluation's recommendation, if any	Human Resource Serv	start: 4/11 (Monday) 9 am end: 4/13 (Wednesday) 4 pm		
4	Review by Provost/VP, if any (without optional review)	Provost/VP	start: 3/7 (Monday) 9 am end: 4/1 (Friday) 4 pm	start: 3/7 (Monday) 9 am end: 4/1 (Friday) 4 pm	start: 8/29 (Monday) 9 am end: 9/23 (Friday) 4 pm
	Employee may respond to Provost/VP's recom., if any (without optional review)	Provost/VP	start: 4/5 (Monday) 9 am end: 4/7 (Thursday) 4 pm	start: 4/5 (Monday) 9 am end: 4/7 (Thursday) 4 pm	start: 9/26 (Monday) 9 am end: 9/29 (Thursday) 4 pm
	Review by Provost/VP, if any (with optional review)	Provost/VP	start: 4/15 (Thursday) 9 am end: 4/16 (Friday) 4 pm	Not applicable. Not part of review process for Appendix A-28 promotions/salary increases.	Not applicable. Not part of review process for Appendix A-28 promotions/salary increases.
	Employee may respond to Provost/VP's recom., if any (with optional review)	Provost/VP	start: 4/18 (Monday) 9 am end: 4/20 (Wednesday) 4 pm		
4a	Deadline for employee to initiate review by College Review Panel	Human Resource Serv	Not applicable. Step 4a is not part of annual review process.	4/7 (Thursday) 4 pm	9/29 (Thursday) 4 pm
	Review by College Review Panel, if any	Human Resource Serv		start: 4/8 (Friday) 9 am end: 5/6 (Friday) 4 pm	start: 9/30 (Friday) 9 am end: 10/28 (Friday) 4 pm
	Employee may respond to College Review Panel's recom., if any, and review file prior to President's review	Human Resource Serv		start: 5/9 (Monday) 9 am end: 5/12 (Thursday) 4 pm	start: 10/31(Monday) 9 am end: 11/3 (Thursday) 4 pm
5	Review by President and President's decision/notification (without review)	Provost/VP	Not applicable.	start: 4/8 (Friday) 9 am end: 4/22 (Friday) 4 pm	start: 9/30 (Friday) 9 am end: 10/14 (Friday) 4 pm
	Review by President and President's decision/notification (with review)	Provost/VP	start: 4/21 (Thursday) 9 am end: 4/22 (Friday) 4 pm	start: 5/13 (Friday) 9 am end: 5/27 (Friday) 4 pm	start: 11/4 (Friday) 9 am end: 11/18 (Friday) 4 pm

**Notes:**

1. Immediate Supervisor collects written recommendations from Secondary Reviewers, if any, as described in the Agreement on Performance Review of Professional Employees (Article 6, p. 16).
2. Cycle 5/Step 3a: Optional review by Committee on Professional Evaluation applies only where an evaluation report is characterized as "unsatisfactory." The timetable for this review is in accordance with the provisions of the "Memorandum of Understanding" (see Agreement, Article 4, pp. 7-11). Requests for optional review must be filed in the Human Resource Services Office by the deadline indicated above. If the professional employee does not elect optional review, skip step 3a and subsequent shaded sections in Cycle 5 column.
3. Cycle 6 or 7/Step 4a: Optional review by College Review Panel applies only where an application for Appendix A-28 promotion/salary increase is denied below the level of President. Requests for optional review must be filed in the Human Resource Services Office by the deadline indicated above. If the professional employee does not elect optional review, skip step 4a and subsequent shaded sections in Cycle 6 or 7 column.



(use back of sheet if additional signatures are required)

**Secondary Reviewer(s), if any (continued):**

<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"/>	_____	_____	__/__/__

**College Review Panel, if any (continued):**

<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	__/__/__
<input type="checkbox"/>	<input type="checkbox"/>	_____	_____	__/__/__







# Professional Employee Performance Program Cover Sheet

Employee Name: \_\_\_\_\_

Employee Title and Department: \_\_\_\_\_

Period Covered by this Performance Program: \_\_\_\_\_

Note: this is the period from the point the employee acknowledged the previous Performance Program to the next evaluative date (beginning of Cycle).

Immediate Supervisor Name: \_\_\_\_\_

Immediate Supervisor Title and Department: \_\_\_\_\_

**The discussions which result in either a change in the existing performance program or a renewal of the existing performance program should consider the following, as described in the Agreement on Performance Review of Professional Employees (Article 4.V, pp. 7-9). See that section of the Agreement for more information.**

- 1. Nature of the professional employee's duties and responsibilities**
- 2. Supervisory relationships**
- 3. Functional relationships**
- 4. Immediate and long-term objectives**
- 5. Criteria for evaluating achievement of objectives (including *effectiveness in performance, mastery of specialization, professional ability, effectiveness in university service, and continuing growth*)**
- 6. Secondary reviewers, if any**

I have read and understand the attached performance program.

\_\_\_\_\_  
Employee Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Immediate Supervisor Signature

\_\_\_\_\_  
Date

**Note: "If the immediate supervisor and the employee do not concur on the performance program, the employee has the right to attach a statement to the performance program within 10 working days from receipt." (see Agreement, Article 4.V.6.b, p. 9)**

**The performance program, including this cover sheet with signatures and attached statements, if any, must be entered into the employee's performance review file prior to the completion of the "Review by Immediate Supervisor" step in the review process. The evaluation period cannot start prior to the date upon which the employee receives a copy of the written performance program.**

From the *Policies of the Board of Trustees*  
Article XI, Title D, Section 5

*Notice.* In the event a term appointment is not to be renewed upon expiration, the chief administrative officer or the chief administrative officer's representative will notify the appointee in writing not less than:

- (a) Forty-five calendar days prior to the end of a part-time service term appointment;
- (b) Three months prior to the end of a term expiring at the end of an appointee's first year of uninterrupted service within the University. For such employees serving on the basis of an academic year professional obligation and academic employees at the Empire State College whose terms end in June, July or August, notice shall be given no later than March 31;
- (c) Six months prior to the end of a term expiring after the completion of one, but not more than two, years of an appointee's uninterrupted service within the University. For such employees serving on the basis of an academic year professional obligation and academic employees at the Empire State College whose terms end in June, July or August, notice shall be given no later than December 15;
- (d) Twelve months prior to the expiration of a term after two or more years of uninterrupted service within the University;
- (e) Six months prior to the expiration of a term for titles listed in Appendix B(1) and B(2), *infra*

Appendix A-28 Promotions/Salary Increases

Refer to the *Memorandum of Understanding Between The State of New York and United University Professions Relating to a System of Promotion and Certain Salary Increases for Professional Employees* (Appendix A-28 of the Agreement between NYS and UUP) for definitions of and information regarding the formal distinction between these promotions and salary increases.

## **Additional Information about the Performance Review Process**

The following are elaborations and clarifications of information appearing in the *Agreement on Performance Review of Professional Employees*, which the Labor/Management Subcommittee on Evaluations of Professional Employees has prepared in response to questions asked about this new performance review process. **Please append these sheets to your copy of the Agreement.**

### **1. The roles of supervisors who serve as evaluators at more than one level of review.**

The *Agreement* prohibits evaluators from participating in any individual's evaluation at more than one level of review (see Article 3.6, p. 6). In other words, persons serving as an immediate supervisor and also as that same professional employee's Dean/Associate Provost or Provost/Vice President are allowed to formulate a performance review recommendation at only one of those levels. **Furthermore, since the essential relationship in a professional employee's evaluation is the one between the employee and his or her immediate supervisor, it has been determined that evaluators, as described above, with responsibilities as both an immediate supervisor and also as a subsequent reviewer, must limit their participation in these evaluations to that of an immediate supervisor, and the dates established in the college's performance review calendar for "Review by Immediate Supervisor" must be followed.** Obviously, in such cases the subsequent levels of review that would have been served by these immediate supervisors in their other capacities will be skipped.

This determination also ensures that notice provisions (of unsatisfactory job performance) will be applied consistently, and therefore fairly, to all professional employees.

### **2. Where secondary reviewers fit into the performance review process.**

"Consultation with secondary sources" is provided for in the "*Memorandum of Understanding on Evaluation of Professional Employees (1981)*" and is, therefore, included in the Plattsburgh *Agreement* (Article 4.V.5, p. 9). In the "*Memorandum*", secondary sources are defined as "agencies, offices, or individuals which will be involved with the performance of the employee and may affect the employee's ability to achieve the stated objective." The "*Memorandum*" goes on to explain how secondary sources are identified by the immediate supervisor, after consultation with the professional employee, and are documented as such in the employee's performance program. Article 6 (p.16) and Article 7 (pp. 16-17) of the *Agreement* provide further information on the requirements, qualifications, and conduct of secondary reviewers.

**While participation by secondary reviewers is neither encouraged nor discouraged, such participation is not a required element of these evaluations, and largely for that reason, a separate level of review or step for secondary reviewer participation is not incorporated into the review process. Furthermore, since use of secondary reviewers essentially is an option for immediate supervisors, responsibility for incorporating participation by secondary reviewers into the review process, as described in the *Agreement* (Article 6, p. 16) is placed on the immediate supervisor. Therefore, immediate supervisors, while making arrangements for optional secondary reviewer participation, are cautioned to allow themselves sufficient time to complete their own review, under the time restrictions imposed by the college's performance review calendar, after they have collected written recommendations prepared by the secondary reviewers.**

### **3. How the performance program relates to the evaluation process.**

Article 4.V (pp. 7-9) of the *Agreement* gives a very clear description of the performance program and the process by which it is developed. Basically, the performance program can be defined as a written account of discussions between the professional employee and his/her immediate supervisor relating to certain elements on which the formal

evaluation for the upcoming evaluation period will be based. Therefore, the performance program is distinct from the professional employee's more inclusive job description.

**The frequency for preparation of performance programs, whether incorporating changes or simply renewing existing language, is minimally annually, and such preparation takes place simultaneously with the professional employee's annual performance review during the "Review by Immediate Supervisor" step in the review process, and the updated or renewed performance program is entered into the performance review file at that time.** Note that Article 4.V.7 of the Agreement further stipulates that modifications to the performance program must be made as circumstances warrant at any time throughout the year.

For convenience, a sample performance program cover sheet is appended to the performance review calendar.