

AC Transit

MANAGEMENT PROCEDURE

PROCEDURE NO. 229
DATE April 13, 1987
REVISION NO. One
REVISION DATE January 9, 1989
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PERFORMANCE EVALUATION

I. PURPOSE:

To provide a basis for measuring targeted performance objectives designed to improve individual, unit and organizational performance, thus enabling the District to attract, motivate, reward, and retain the quality of people required to operate effectively.

II. PERSONS AFFECTED:

All management employees (excludes Board officers).

III. POLICY:

It is the policy of the District to recognize, assess, and categorize individual job performance in accordance with individual unit and organizational objectives.

IV. DEFINITIONS:

DISTINGUISHED

Performs assigned duties in a manner demonstrating mastery at every level of major responsibility. Results achieved are well beyond the level of performance rated "Exceeds Standards."

Limited to the very top performers. The truly extraordinary staff member. Consistently distinguished performance exceeding both job requirements and expectations.

EXCEEDS STANDARDS
(Excellent)

Performs assigned duties in a manner indicating exceptional understanding of essential functions. Results achieved are often better than expected of performance rated "Competent and Effective," but not of such uniqueness as to warrant a "Distinguished" rating.

This rating represents above average work. Exceeds job requirements in all areas.

COMPETENT AND EFFECTIVE
(Satisfactory)

Performs assigned duties at an acceptable level through demonstrated application of skills.

An acceptable level of performance in all factors. Meets agreed upon criteria.

MARGINAL
(Below Satisfactory)

Performance in one or more areas does not meet the requirement for a "Competent and Effective" rating. Improvement is required if acceptable results are achieved.

A marginal rating indicates does not perform at the level expected in some factors. Does not meet all criteria. However, has potential and with proper instruction and guidance, is expected to improve performance in a specified time to at least a satisfactory level. This rating indicates immediate job performance counseling, coaching and other supportive interventions to occur between the supervisor and employee.

BELOW MARGINAL

Even under close direction, performance does not demonstrate the ability and/or willingness to produce required results.

Has significant shortcomings for present job assignments. This rating usually indicates immediate probationary status or dismissal.

NOT OBSERVED

This rating is issued to the employee who has not been functional on the job for legitimate reasons (illness, leave of absence, pregnancy, etc.).

PROBATION
(Performance Appraisal)

90-day (3 month) period for employees receiving a performance rating of Below Marginal to correct performance deficiencies.

PROBATIONARY PERIOD

180 calendar day (6 month) trial period for employees who are newly hired or rehired.

TRIAL SERVICE PERIOD

180 calendar day trial period of employment of a permanent employee, beginning with the effective date of the promotion, transfer or reassignment.

PA

Performance appraisal program for non-unionized AC Transit employees.

V. RESPONSIBILITIES:

Managers and/or supervisors responsible for evaluating an employee's performance are expected to be fair, firm and consistent in applying the same rules to everyone. It is unlikely that any supervisor will have employees who are all performing excellently or, conversely, below marginal. It is the responsibility of managers and/or supervisors to ensure that each evaluation accurately reflects the employee's performance and that there is objective data to defend his/her assessment. If the Manager and/or Supervisor has followed all of the steps and recommendations outlined in the performance evaluation program, he/she has a sound, objective means in which to assess an employee's performance.

VI. PROCEDURES:

A. PERFORMANCE REVIEWS

- I. Targeted performance objectives and performance targets must be agreed upon at the onset of the review period. Once major objectives are established and agreed upon by the supervisor and employee, periodic, informal reviews (quarterly reviews are strongly recommended) should commence prior to the formal evaluation. Beginning 1989 two formal documented reviews are to occur on March 1 and August 15.

B. EVALUATION OF PERFORMANCE

- I. The performance appraisal section of the performance evaluation form must be completed by the supervisor. One of the following categories must be selected with supporting documentation that identifies the achievement or lack thereof of specific performance targets:
 - (a) Distinguished
 - (b) Exceeds Standards (Excellent)
 - (c) Competent and Effective (Satisfactory)
 - (d) Marginal (Below Satisfactory)
 - (e) Below Marginal
 - (f) Not Observed

C. PROBATION

- I. ~~Employees placed on probation must be notified in writing by their supervisor.~~ The specific areas of poor performance must be identified and objectives for improvement spelled out. Normally, probationary employees are given up to 90 days to improve their performance to an acceptable level. Employees performing below marginal for more than one evaluation period should be placed on probation. Termination should occur at the end of the probationary period unless there is substantial improvement in performance.

D. APPEALS

Following a decision on the Performance Appraisal rating and the conference with the employee, the employee can agree with the rating or request an appeal (see attached form). The employee has one (1) week or five (5) working days from the conference (in which the final rating is shared) to file an appeal.

The appeal process allows the employee to present written documented justification for reconsideration of the original rating. The appeal cycle is below.

START	Employee informed of rating	5 working days
Level 1	Appeal is filed with Evaluator	5 working days
Level 2	Appeal is reviewed by Dept. Mgr.	5 working days
Level 3	Appeal reviewed by Director (Grade 9 and below or if rating request is for Effective or below)	5 working days
Level 4	Review by General Manager (Grades 10 and above or if rating request is above Effective)	5 working days

It should be noted that if the rating goes to Level 4, a full and exhaustive review of the submitted appeal will occur. The extensive nature of this review could result in an upgrade, status quo, or a downgrade, based on the documentation and review results. An employee's rating can be lowered if sufficient documentation is not presented to substantiate the original rating. Grades 9 and below are appealed through the Director; Grades 10 or above will go directly to the General Manager for review.

Employees who wish to appeal their ratings will not receive any increment until the appeal process is completed and the final rating warrants an increase. Retroactivity will be honored if there is to be a pay increase following the appeal process.

E. PROMOTIONS

1. A promotion is a change from a lower to a higher paying classification that encompasses increased responsibilities and accountabilities. Employees continually performing above standard would be considered as viable candidates for promotions.

VII. GENERAL GUIDELINES

- A. The performance appraisal cycle is for 12 months (September to September).
- B. Appeals to go to General Manager only if the appeal request is higher than "Effective" or the mid-range.
- C. Employees that have received promotions or served in acting capacities are not eligible for increases unless a negative financial impact is demonstrated. This decision is at the discretion of the General Manager.
- D. Persons hired or promoted after December 31 will not be eligible for a monetary increase in the September cycle unless the 6 months of probation is completed (then only on a prorated basis).
- E. Employees who left the District during the appraisal period will not be eligible for a pay increment.
- F. All employees are to be evaluated whether they are eligible for monetary increments or not.
- G. Employees receiving a Below Marginal rating are placed on probation for 3 months. Following the 3-month documented review period, employees who improve performance are not eligible for a rate increase. Employees not improving performance can face termination.

H. Employees receiving a marginal rating will be provided job performance counseling, coaching, etc., in preparation for the next annual review.

Pay raise percentages will be determined by the General Manager contingent on budgetary limitations.

Approved by:

James L. O'Brien

Date:

January 9 1989

AC TRANSIT DISTRICT
PERFORMANCE APPRAISAL
COVER SHEET AND AUTHORIZATION FOR PAY ADJUSTMENT

Operations: July 1, 1990 - June 30, 1991

All Others: September 1, 1990 - August 31, 1991

- OUTSTANDING Performance
- COMPETENT Performance
- DEVELOPMENTAL Performance *
(Marginal)
- UNSATISFACTORY Performance *
(Below Marginal)
- NOT OBSERVED

The employee listed below has been evaluated under the Performance Appraisal System and has received an evaluation rating as indicated above.

EMPLOYEE NAME _____ BADGE NO. _____
POSITION _____
DEPARTMENT _____
ORGANIZATION CODE _____
SUPERVISOR _____

I hereby agree with the
above evaluation rating

I do not agree with the above
evaluation rating and have appealed
or will appeal it

I do not agree with the above
evaluation rating but I have elected
not to appeal it

Employee Signature

Date

Supervisor Signature

Date

* Definitions in parentheses are 1989-90 equivalent and noted herein for BPAR No. 256 reference purposes. See BPAR No. 256 if considering use of these ratings.

Note: Rating definitions on back of this form

**AC TRANSIT DISTRICT
PERFORMANCE APPRAISAL PROGRAM**

1990 - 1991

RATING DEFINITIONS

- OUTSTANDING:** **Consistently exceeds performance standards.** The individual consistently exceeded performance standards in accomplishing his/her objectives - and with minimum guidance. Unusual or unique contributions have been made to short and/or long range organization objectives and goals. The employee takes advantage of available opportunities to further AC Transit's interest, relationships or services. Normally, only a very limited number of individuals will qualify for this rating.
- COMPETENT:** **Consistently meets performance standards.** The individual achieved entirely satisfactory results in most phases of his/her position. Objectives were accomplished with limited direction and resulted in significant gains in important areas. Little supervision is required. Overall performance consistently meets performance standards.
- DEVELOPMENTAL (Marginal) *:** **Does not consistently meet performance standards.** An individual in this category of performance has not fully reached the standards of performance in accomplishing his/her objectives. Specific shortcomings should be identified and a written plan agreed upon to improve them. Even in the instances where this performance level results primarily from the employee's newness to the position, ratings for this performance level should be less than those typically given Competent performers.
- UNSATISFACTORY (Below Marginal) *:** **Employee Performance is Unacceptable.** Counseling and progressive warnings have been initiated to help the employee improve his/her performance, but the individual has been unable or unwilling to reach the standards of performance. Such individuals, after appropriate counseling, should be placed on probation and may be subject to termination. (See BPAR Nos. 254, 256, and Management Procedures).
- NOT OBSERVED:** For employees who are still in a New Hire Probationary Period and others who have not been functional on the job for legitimate reasons (illness, leave of absence, pregnancy, etc.).
- Note:** Employees in a New Hire Probationary Period should be evaluated as required by BPAR No. 282. Eligibility of such employees for an initial 6 month increase will be as provided in the Management Compensation Plan.
- * Definitions in parentheses are 1989-90 equivalent and noted herein for BPAR No. 256 reference purposes. See BPAR No. 256 if considering use of the ratings

SAMPLE FORMS

NOTE: Sample forms for probationary employees and the performance appraisal form are attached. Managers can use a memo format if so desired as long as the same information is provided.

PERFORMANCE APPRAISAL SYSTEM

July 1, 1988 - September 1, 1989

- % **DISTINGUISHED**

- % **EXCEEDS STANDARDS**
 (Excellent)

- % **COMPETENT AND EFFECTIVE**
 (Satisfactory)

- % **MARGINAL (on probation for 3 months)**
 (Below Satisfactory)

- % **BELOW MARGINAL (on probation for 3 months)**

The employee listed below has been evaluated under the Performance Appraisal System and has received an evaluation rating as indicated above.

EMPLOYEE NAME	_____	BADGE	_____
DEPARTMENT	_____		
ORG. CODE	_____		
SUPERVISOR	_____		

I hereby agree with the above evaluation rating

I do not agree with the above evaluation rating and will be appealing my evaluation

Employee Signature

Date

Supervisor Signature
(I certify that the Performance Appraisal documentation has been sent to Human Resources)

Date

General Manager

Date



PERFORMANCE PLANNING AND APPRAISAL SYSTEM

Performance Management Plan

Name	Position	Page No.
Department	Review Period	
Targeted Performance Objectives	Performance Targets	Revisions
	Due	
	Due	
	Due	
	Due	
	Due	

Notes:

Employee _____

Date _____

Supervisor _____

Date _____

Actual Performance Results

NOTE: Using the six ratings below assess the performance of each of the indicators noted

Overall Rating: Distinguished Exceeds Standards Competent and Effective
 Marginal Below Marginal Not Observed

Employee _____

Date _____

Supervisor _____

Date _____

Employee Development and Improvement Plan

Actions Proposed by Employee

Signature _____

Date _____

Actions Proposed by Supervisor

Signature _____

Date _____

Comments Regarding Appraisal and Development/Improvement Plan

Employee

Signature _____

Date _____

Supervisor

Signature _____

Date _____

Next Level Supervisor

Signature _____

Date _____

RECOMMENDATION FOR PERMANENT EMPLOYMENT

ACCEPTABLE

UNACCEPTABLE

EXTENSION

Remarks

Immediate Supervisor

Date

Next Level Supervisor

Date

Personnel Manager

Date

Employee's Comments

Signature _____

Date _____

