



CLAREMONT  
UNIVERSITY  
CONSORTIUM

# Exempt Employee Performance Evaluation

Employee: \_\_\_\_\_ Evaluation Period: -

Title: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Business Unit: \_\_\_\_\_

Director: \_\_\_\_\_

Senior Cabinet Officer: \_\_\_\_\_

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- 2 PERFORMANCE FACTOR RATING SCALE**
- 3 PART I—JOB SUCCESS FACTORS/CORE COMPETENCIES**  
These include essential job functions and basic competencies. Using the scale on page 2, rate each factor based on performance during the period identified above. The factors include values to which CUC subscribes as well as competencies common to professional job standards.
- 10 PART II—GOALS FROM EVALUATION PERIOD**  
Rate the progress made on each of the goals established at the beginning of the period using the scale described on page 2. Also include any new goals established during the evaluation period and note any modifications, including % of effort expected and the number of the relevant KRA.
- 13 PART III—OVERALL RATING BASED ON RATINGS IN PARTS I AND II**  
Assign a rating from the scale described on page 2. This is not a numerical calculation but is based on ratings of the most important factors in Parts I and II.
- 14 PART IV—PROFESSIONAL DEVELOPMENT PLAN AND SIGNATURES**  
Enter any actions that will be taken by the employee or manager to support anticipated goals for the next evaluation period or for improvement in specific job success factors in Part I. The plan may include career growth, job mastery, or actions to correct performance.  
**The Employee, Supervisor, Director, and Senior Cabinet Officer sign this page.**
- 15 PART V—GOALS FOR THE NEXT EVALUATION PERIOD**  
This section is to be completed following the conclusion of the evaluation process. Using a collaborative process with primary involvement by the Evaluator, define performance goals for the next evaluation period and enter them here. These should align with those of the unit and the CUC. In the appropriate column for each goal, include the % of effort expected and the number of the relevant KRA.  
**The Employee, Supervisor, Director, and Senior Cabinet Officer sign this page.**
- 16 APPENDIX A—STANDARDS OF PROFESSIONAL PRACTICE**
- 17 APPENDIX B—KEY RESULT AREAS**

# Exempt Employee Performance Evaluation

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## Performance Factor Rating Scale

### Rating Scale for Parts I, II and III

*The following Performance Rating Scale is to be used for rating employees on the items in Parts I, II and III. Please note that ratings of 0, 1, 4, or 5 require an explanation and/or supporting documentation and ratings of 0, 1, or 2 require attachment of an action plan to correct performance.*

- Rating 5**    **Exceptional** *(Requires explanation and/or documentation to substantiate)*  
Performance far exceeded expectations due to exceptionally high quality of work performed in all essential areas of responsibility, resulting in an overall quality of work that was superior; and either 1) included the completion of a major goal or project, or 2) made an exceptional or unique contribution in support of unit or Consortium objectives. This rating is achievable by any employee though given infrequently.
- Rating 4**    **Exceeds expectations** *(Requires explanation and/or documentation to substantiate)*  
Highly Effective - performance consistently exceeded expectations in all essential areas of responsibility and the quality of work overall was excellent. Most performance objectives exceed expectations. Projects and objectives are completed in a manner that expands the scope and impact of the assignment and increases the impact on the Consortium. The employee is viewed as having made notable contributions to the unit. Annual goals were met.
- Rating 3**    **Meets expectations**  
Effective – Performance was competent and effective along established expectations; initiative, resourcefulness and good judgment are consistently exercised. Employee makes a solid, reliable and meaningful contribution to the unit. Performance consistently met expectations in all essential areas of responsibility, at times possibly exceeding expectations, and the quality of work overall was very good. The most critical annual goals were met.
- Rating 2**    **Improvement required**  
Performance did not consistently meet expectations – performance failed to meet expectations in one or more essential areas of responsibility, and/or one or more of the most critical goals were not met. An action plan to improve performance must be developed, including timelines, and monitored to measure progress.
- Rating 1**    **Unsatisfactory** *(Requires explanation and/or documentation to substantiate)*  
Performance was consistently below expectations in most essential areas of responsibility, and/or reasonable progress toward critical goals was not made. Significant improvement is needed in one or more important areas. An action plan to correct performance, including timelines, must be developed and monitored to measure progress.
- Rating 0**    **Unacceptable** *(Requires explanation and/or documentation to substantiate)*  
Performance did not meet expectations in essential areas of responsibility, and/or progress toward critical goals was not made. Significant and sustained improvement is needed. An action plan to correct performance, including timelines, must be developed and monitored to measure progress. Employee should be given a disciplinary warning.
- The inclusion of goals is typically a consideration in assessing the overall rating.**

# Exempt Employee Performance Evaluation

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Employee:

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## Part I: Job Success Factors/Core Competencies

### 1. Customer Service

Passionate about providing high quality customer service. Demonstrates that customer satisfaction is a priority by being available to help customers, giving accurate and helpful information/service, and demonstrating an understanding of and anticipating customer needs. Values the importance of delivering high quality, innovative service to internal and external customers; understands the needs of the customer; customer service focus.

Employee's Comments

Supervisor's Comments

Supervisor's Rating 0-5

### 2. Collaboration

Supports others and practices teamwork to achieve productivity and efficiency. Cooperates and collaborates with colleagues as appropriate; works in partnership with others and demonstrates respect for the community.

Employee's Comments

Supervisor's Comments

Supervisor's Rating 0-5

# Exempt Employee Performance Evaluation

Employee: \_\_\_\_\_ Evaluation Period: -

Title: \_\_\_\_\_

## Part I: Job Success Factors/Core Competencies *(Continued)*

**3. Accountability**

Honors commitments and is dedicated to delivering timely results. Accepts responsibility for own work; develops trust and credibility; demonstrates honest and ethical behavior. Problem solving—Identifies problems, involves others in seeking solutions, conducts appropriate analyses, searches for best solutions; responds quickly to new challenges. Decision making—Makes clear, consistent, transparent decisions; acts with integrity in all decision making; distinguishes relevant from irrelevant information and makes timely decisions.

**Employee's Comments**

**Supervisor's Comments**

**Supervisor's Rating 0-5**

**4. Strategic Planning**

Understands big picture and aligns priorities with broader goals, measures outcomes, uses feedback to change as needed, evaluates alternatives, solutions oriented, seeks alternatives and broad input; can see connections within complex issues.

**Employee's Comments**

**Supervisor's Comments**

**Supervisor's Rating 0-5**

# Exempt Employee Performance Evaluation

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## Part I: Job Success Factors/Core Competencies *(Continued)*

**5. Communication**

Connects with superiors, peers, subordinates and customers, actively listens, clearly and effectively shares information, demonstrates effective oral and written communication skills, and adheres to established standards for communication.

**Employee's Comments**

**Supervisor's Comments**

**Supervisor's Rating 0-5**

**6. Respectful Practices**

Shows respect for people and their differences; promotes fairness and equity; engages the talents, experiences, and capabilities of others; fosters a sense of belonging; works to understand the perspectives of others; and creates opportunities for access and success. Demonstrates respect for the community and environment in which we work.

**Employee's Comments**

**Supervisor's Comments**

**Supervisor's Rating 0-5**

# Exempt Employee Performance Evaluation

Employee: \_\_\_\_\_ Evaluation Period: -

Title: \_\_\_\_\_

## Part I: Job Success Factors/Core Competencies *(Continued)*

**7. Professionalism**

Adheres to the approved “Standards of Professional Practice” for CUC staff. Punctual, has good attendance. *(See Appendix A on page 16)*

**Employee’s Comments**

**Supervisor’s Comments**

**Supervisor’s Rating 0–5**

**8. Resourcefulness**

Strives for efficient, effective, high quality performance in self and the unit; delivers timely and accurate results; resilient when responding to situations that are not going well; takes initiative to make improvements. Utilizes time management and organization skills.

**Employee’s Comments**

**Supervisor’s Comments**

**Supervisor’s Rating 0–5**

# Exempt Employee Performance Evaluation

Employee: \_\_\_\_\_ Evaluation Period: -  
 Title: \_\_\_\_\_

## Part I: Job Success Factors/Core Competencies *(Continued)*

**9. Leadership**

Inspires others by encouraging creativity, empowering others to manage their work and time, accepting new ideas and methods. Accepts responsibility for own work; develops trust and credibility; demonstrates honest and ethical behavior.

**Employee's Comments**

**Supervisor's Comments**

**Supervisor's Rating 0-5**

**10. Risk Management**

Works in a safe and healthy manner and follows proper work procedures. Implements a process or takes some action that significantly reduces risk on CUC property and The Claremont Colleges campuses (e.g., making information for decision-making more accessible, reliable, consistent, and secure; supporting continuity planning or emergency preparedness; etc.).

**Employee's Comments**

**Supervisor's Comments**

**Supervisor's Rating 0-5**

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Employee:

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Title:

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## Part I: Job Success Factors/Core Competencies *(Continued)*

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### 11. Entrepreneurialism

Embraces creativity, innovation and change. Suggests improvement over what is presently done or used. Presents ideas that move things in the direction of a solution potential for sustained success or positive change. The space below plus additional pages may be used for any additional comments on the employee's performance.

Employee's Comments

Supervisor's Comments

Supervisor's Rating 0-5



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Employee:

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Title:

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## Part I: Job Success Factors/Core Competencies *(Continued)*

### Additional Comments

This page may be used for any additional comments on the employee's performance.

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Employee:

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Title:

## Part II: Goals from this Evaluation Period

Goal 1.

KRA	Weight	Rating 0-5
	%	

Employee's Comments

Please give an example of a measure of success.

Supervisor's Comments

Goal 2.

KRA	Weight	Rating 0-5
	%	

Employee's Comments

Please give an example of a measure of success.

Supervisor's Comments

# Exempt Employee Performance Evaluation

Employee:

Evaluation Period:

-

Title:

## Part II: Goals from this Evaluation Period

Goal 3.

KRA      Weight      Rating 0-5  
   %

Employee's Comments

Please give an example of a measure of success.

Supervisor's Comments

Goal 4.

KRA      Weight      Rating 0-5  
   %

Employee's Comments

Please give an example of a measure of success.

Supervisor's Comments

# Exempt Employee Performance Evaluation

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Employee:

Evaluation Period:

-

Title:

## Part II: Goals from this Evaluation Period

Goal 5.

KRA      Weight      Rating 0-5  
   %

Employee's Comments

Please give an example of a measure of success.

Supervisor's Comments

Goal 6.

KRA      Weight      Rating 0-5  
   %

Employee's Comments

Please give an example of a measure of success.

Supervisor's Comments

# Exempt Employee Performance Evaluation

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Title:

## Part III: Overall Rating based on ratings in Parts I and II

Rating 0-5	Comments
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Relative weights of job success factors and performance goals are determined by the manager or supervisor. Higher priority items may be highlighted above or noted below. Consideration should be also be given to how the staff member has contributed to the mission of CUC.

### Our Misson

To advance The Claremont Colleges by promoting collaboration; by providing innovative, high quality, and cost effective customer-oriented services; and by supporting the establishment of new institutions.

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## Part IV: Professional Development Plan and/or Action Plan to Address Performance

**To be completed by employee.**

List specific actions, seminars, training, etc.

**To be completed by supervisor.**

If employee rated 3 or above in Part I and/or Part II, identify specific actions, seminars, training, etc. that will help the employee develop.  
If employee rated 0–2 in Part I and/or Part II, please attach a Performance Improvement Plan (PIP) to address performance gaps.

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### Signatures

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

\_\_\_\_\_  
*Date*

My signature indicates that I have received a copy of this evaluation.

\_\_\_\_\_  
**Director Name**

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
**Supervisor Name**

\_\_\_\_\_  
**Senior Cabinet Officer Name**

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Signature*

\_\_\_\_\_  
*Date*

The employee being evaluated is to receive a copy of the completed evaluation form and one copy shall be sent to the OHR to be placed in the personnel file.

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## Part V: Goals for Next Evaluation Period

*Progress toward meeting these goals will be reviewed at the time of the next evaluation.*

Enter the performance goals for the next period to be evaluated. Individual goals and objectives should align with those of the unit and CUC.

Goal 1. KRA      Weight      %

Please give an example of a measure of success.

Goal 4. KRA      Weight      %

Please give an example of a measure of success.

Goal 2. KRA      Weight      %

Please give an example of a measure of success.

Goal 5. KRA      Weight      %

Please give an example of a measure of success.

Goal 3. KRA      Weight      %

Please give an example of a measure of success.

Goal 6. KRA      Weight      %

Please give an example of a measure of success.

### Signatures

Employee Signature

Date

My signature indicates that I have received a copy of this evaluation.

Director Name

Signature

Date

Supervisor Name

Senior Cabinet Officer Name

Signature

Date

Signature

Date

## Appendix A—Standards of Professional Practice

The CUC exempt employees are expected to be familiar with these standards and utilize them as guidelines for practice and decision making.

### Professional Behavior

Employees of the Claremont University Consortium (CUC) fulfill the responsibilities of their position by supporting the mission, vision of the CUC as well as being familiar with the educational interests, rights, and welfare of students in accordance with the mission of The Claremont Colleges (TCC).

### Agreement with Institutional Mission and Goals

Employees of the CUC adhere to the mission, vision and goals of the CUC.

### Management of Institutional Resources

Employees seek to advance the welfare of the CUC and TCC through accountability for the proper use of institutional funds, personnel, equipment, and other resources. Members inform appropriate officials of conditions which may be potentially disruptive or damaging to the CUC's mission, personnel, and property.

### Employment Relationship

Employees honor employment relationships. Employees do not commence new duties or obligations at another institution under a new contractual agreement until termination of an existing contract, unless otherwise agreed to by the employee and the employee's current and new supervisors. Members adhere to professional practices in securing positions and employment relationships.

### Conflict of Interest

Employees recognize their obligation to the CUC and seek to avoid private interests, obligations, and transactions which are in conflict of interest or give the appearance of impropriety. Employees clearly distinguish between statements and actions which represent their own personal views and those which represent their employing institution when important to do so.

### Legal Authority

Employees respect and acknowledge all lawful authority. Employees refrain from conduct involving dishonesty, fraud, deceit, and misrepresentation or unlawful discrimination. The CUC recognizes that legal issues are often ambiguous, and employees should seek the advice of supervisors. Employees demonstrate concern for the legal, social codes and moral expectations of the communities in which they live and work even when the dictates of one's conscience may require behavior as a private citizen which is not in keeping with these codes/expectations.

### Equal Consideration and Treatment of Others

Members execute professional responsibilities with fairness and impartiality and show equal consideration to individuals regardless of status or position. Members respect individuality and promote an appreciation of human diversity in higher education. In keeping with the mission of the CUC and The Claremont Colleges and remaining cognizant of federal, state, and local laws, they do not discriminate on the basis of race, color, national origin, religion, sex, age, gender identity, gender expression, affectional or sexual orientation, or disability. Members do not engage in or tolerate harassment in any form and should exercise professional judgment in entering into intimate relationships with those for whom they have any supervisory, evaluative, or instructional responsibility.

### Student Behavior

Employees demonstrate and promote responsible behavior and support actions that enhance personal growth and development of students. Employees foster conditions designed to ensure a student's acceptance of responsibility for his/her own behavior.

### Integrity of Information and Research

Employees ensure that all information conveyed to others is accurate and in appropriate context. In their research and public employees conduct and report research studies to assure accurate interpretation of findings, and they adhere to accepted professional standards of academic integrity.

### Confidentiality

Employees ensure that confidentiality is maintained with respect to all privileged communications and to educational and professional records considered confidential. They inform all parties of the nature and/or limits of confidentiality. Employees share information only in accordance with institutional policies and relevant statutes when given the informed consent or when required to prevent personal harm to themselves or others.

### Research Involving Human Subjects

Employees are aware of and take responsibility for all pertinent ethical principles and institutional requirements when planning any research activity dealing with human subjects.

### Representation of Professional Competence

Employees at all times represent accurately their professional credentials, competencies, and limitations and act to correct any misrepresentations of these qualifications by others. Employees make proper referrals to appropriate professionals when the member's professional competence does not meet the task or issue in question.

### Selection and Promotion Practices

Employees support nondiscriminatory, fair employment practices in accordance with federal, state, and local laws. Selection criteria, deadlines, and promotion criteria in accordance with the spirit and intent of equal opportunity policies and established legal guidelines and institutional policies.

### Job Definitions and Performance Evaluation

Employees clearly define with subordinates and supervisors job responsibilities and decision-making procedures, mutual expectations, accountability procedures, and evaluation criteria.

### Campus Community

Employees promote a sense of community among all areas of the campus by working cooperatively with students, faculty, staff, and others outside the institution to address the common goals of the CUC and TCC. Employees foster a climate of collegiality and mutual respect in their work relationships.

### Professional Development

Employees have an obligation to continue personal professional growth and to contribute to the development of the profession by enhancing personal knowledge and skills, sharing ideas and information, improving professional practices, conducting and reporting research, and participating in association activities. Employees promote and facilitate the professional growth of staff and they emphasize ethical standards in professional preparation and development programs.

### Assessment

Employees regularly and systematically assess organizational structures, programs, and services to determine whether the developmental goals and needs of students are being met and to assure conformity to published standards and guidelines such as those of the Council for the Advancement of Standards for Student Services/Development Programs (CAS). Employees collect data which include responses from students and other significant constituencies and make assessment results available to appropriate institutional officials for the purpose of revising and improving program goals and implementation.





# CLAREMONT UNIVERSITY CONSORTIUM

## KEY RESULT AREAS

*In a multi-year Strategic Planning Process, Claremont University Consortium (CUC) established five Key Result Areas (KRAs). These KRAs strengthen and guide decision making and allocation of resources to best align with meeting the needs of users.*

KRA

I

### **BUILDING MARKET COMPETITIVENESS OF SERVICES**

Claremont University Consortium (CUC) is committed to the delivery of market competitive services that achieve a quality level of distinction. To accomplish this, it is necessary to define “market” and “market competitiveness” of CUC’s services from the varying perspectives of its user institutions. CUC is defining market standards of each service, identifying peer comparison institutions, and determining criteria for distinctiveness of selected services. An outgrowth of this work is developing an evaluative process and gathering data for each of the services in order to identify their place among their market competitors, to determine which services are currently leaders within their competitive markets, and to define aspirational goals.

KRA

2

### **BUILDING THE FINANCIAL VALUE OF SERVICES**

CUC provides financial value to our customers by offering high-quality, efficient services that (a) exceed in quantity and/or quality at the same price what any single institution could offer on its own or (b) provide an equal quality and quantity service at a lower financial cost than a single institution could operating on its own. By analyzing the cost of each service in a group (consortial) financial model compared to an individual college financial model, CUC provides demonstrated economies of scale benefit to its constituents. The KRA team utilizes metrics to develop benchmarks and to measure CUC’s performance in achieving financial value on a multi-year comparative basis.

KRA

3

### **NEUTRAL CENTER FOR ENTREPRENEURSHIP AND EXPERIMENTATION**

CUC is the hosting institution for developing and experimenting with establishment of new and innovative services that improve the breadth, quality, or cost-effectiveness of services to The Claremont Colleges (TCC). In particular, CUC seeks opportunities to expand and transfer high-quality practices and services found at one college to other colleges, and to create practices and services that are not currently available at TCC but that CUC believes will add value to the consortium.

KRA

4

### **NATIONAL REPUTATION AND BRANDING**

CUC is strongly focused on building the national reputation and brand of The Claremont Colleges (TCC) as the standard bearer for collaboration in the higher education market. Promotion of this distinctive, higher education model complements both common and individual institutional interests, and provides opportunities for members to realize new partnerships and areas of collaboration. CUC leads this effort by positively and proactively emphasizing the unique advantages of the consortial model in the academic and student services spheres, including greater opportunities for academic collaboration; integrated systems and services that cross campus boundaries; increased social and cultural exchange; and a higher capacity for interdisciplinary research.

KRA

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### **OUR PEOPLE AND OUR CULTURE**

In order to achieve the standard of “service above self,” CUC must build and maintain a strong and vibrant internal culture that builds, supports, and nurtures highly skilled, passionate, and dedicated staff. CUC is implementing programs that foster the attitudes, knowledge, and skills needed by our staff to succeed in the new CUC and, most importantly, focus on the skills our managers need in a culture of accountability. These programs will be complemented by appropriate evaluation and rewards systems for all levels of staff and by policies and practices designed to attract and retain the highest quality staff.