

### 3.410 RCUH 12-Month/Needs-Based Performance Evaluations

#### I. Policy

All regular-status employees must receive a 12-month/needs-based performance evaluation from their respective Principal Investigator/designee. The 12-month period may be from the employee's date of hire, starting date of a new job, or completion of any probationary period, or on an annual cycle (e.g., mid-year scheduled evaluation). A performance evaluation may also be initiated at any time due to work-performance issues.

Employees are evaluated on their ability to perform as specified on their position description or in work assignments issued by their Principal Investigator (or designated/delegated supervisor). The evaluation provides a means to evaluate, document, and apprise employees of their overall job performance for a designated period of time. This is also a time to highlight employees' progress and strengths and areas that need to be improved.

#### II. Responsibilities

##### **A. Supervisor**

1. Discuss annual performance evaluation with the Principal Investigator/designee.

##### **B. Employee**

1. Submit an addendum (with reasoning and explanation) to the Principal Investigator for consideration.

##### **C. Principal Investigator**

1. Comply with deadlines established by the RCUH.

#### III. Applications

This policy applies to all Principal Investigators and/or designated/delegated supervisors who employ RCUH regular-status employees in their respective projects. The policy also applies to RCUH regular-status, non-probationary employees (regardless of FTE).

Performance evaluations may also be used at the Principal Investigator's discretion on all other RCUH employee categories as needed.

#### IV. Details of Policy

**A. Two Types of Performance Evaluation Forms** – The RCUH Performance Evaluation Form is available in both “short” and “long” formats. Either form is acceptable for the performance evaluation process.

1. RCUH 12-Month/Needs Based Performance Evaluation – Short Form
2. RCUH 12-Month/Needs Based Performance Evaluation – Long Form

- B. Purpose of Performance Evaluations** – The RCUH performance evaluation documents an employee’s work performance to determine (a) continuation of employment, (b) basis for personnel actions (e.g., promotion, demotion, performance probation, etc.) and determination of eligibility for an annual pay award or pay adjustment, and (c) justification for one-off pay adjustment or other personnel actions.
1. Continuation of Employment: RCUH Policy No. 3.210 states, “Continuation of employment is dependent upon program/operational needs, satisfactory work performance, availability of funds, and compliance with applicable federal/State laws.” The RCUH performance evaluation is used to measure an employee’s ability to meet and sustain at least a satisfactory level of performance.
  2. Basis for Personnel Actions and Determination of Eligibility for Annual Pay Award or Pay Adjustment: The RCUH Policy No. 3.360 states, “It is the RCUH’s policy to provide Principal Investigators with a process to recognize and compensate regular-status employees whose performance has been consistently ‘meeting expectations’ or ‘exceeding expectations’ of their job requirements.” The RCUH performance evaluation is used to justify any promotion, completion of probation (e.g., new hire 12-month probation or new job probation), and/or annual cycle pay award, and/or pay adjustment.
  3. Justification for One-Off Pay Adjustment or Other Personnel Actions: The RCUH performance evaluation process may also be used to justify any one-off pay adjustment (e.g., retention, equity, or other special circumstance) or other personnel action.

## V. Procedures

- A. Performance Evaluations Are Completed by the Principal Investigator** – Principal Investigators are responsible for filling out a performance evaluation for each regular-status employee. The Performance Evaluation (Short Form or Scored Rating Long Form) may be used at the Principal Investigator’s discretion.
- B. Performance Evaluation Measures an Employee’s Abilities, Skills, and Overall Work Performance Over a 12-Month or Other Specified Period** – Principal Investigator/designee will include ratings, comments, and recommendations based on a comprehensive review of the employee’s performance of work over the previous 12-month or other specified period, or since date of hire for those non-probationary employees hired or promoted into a new job within the previous 12-month period.
- C. Meeting With Employee to Discuss the Performance Evaluation** – The Principal Investigator/designee will discuss the evaluation with the employee. We recommend this be done in a confidential one-on-one meeting.

Both the PI and the employee will be given an opportunity to certify that the employee’s job description is accurately reflecting the employee’s job duties/responsibilities, which are the basis of the evaluation. If changes need to be made to the job description, the Principal Investigator will do so within a reasonable timeframe (e.g., we recommend 30 workdays from signing/submitting the evaluation form).

**D. Required Signatures on the Performance Evaluation Form** – The Performance Evaluation Form requires signatures from the following:

1. Supervisor (person who completed the evaluation if other than the Principal Investigator)
2. Employee (this signifies an acknowledgement that employee met with PI or supervisor. This signature is not necessarily an acceptance of or agreement with the ratings on the evaluation.)
3. Principal Investigator

If an employee disagrees with the evaluation, he/she may submit an addendum, which outlines the employee's reasons/explanation for the unfair/inaccurate evaluation. The Principal Investigator shall review the addendum and determine whether the evaluation should be revised. The addendum shall be included as part of the official Performance Evaluation Form.

**E. Submit Completed Performance Evaluation to RCUH** – A copy of the Performance Evaluation Form is provided to the employee and the original is submitted to the RCUH Human Resources Department where it is filed in the employee's personnel file.

#### **VI. Use of Previous Annual Performance Evaluation Forms**

Principal Investigators may elect to use previously issued Long and/or Short RCUH Annual Performance Evaluation Forms instead of the new forms. Links appear below

- A. RCUH [Short Annual Performance Evaluation Form](#) (Word Format)
- B. RCUH [Long Annual Performance Evaluation Form](#) (Word Format)

#### **VII. Contact**

Nelson Sakamoto, Director of Human Resources: (808) 956-6965  
[rcuhr@rcuh.com](mailto:rcuhr@rcuh.com)

#### **VIII. Relevant Documents**

[RCUH 12-Month/Needs Based Performance Evaluation Short Form \(Excel Format\)](#)  
[RCUH 12-Month/Needs Based Performance Evaluation Long Form \(Excel Format\)](#)

**Date Revised:** 04/05/2007, 04/03/2008, 05/01/2011, 01/11/2014, 04/06/2015, 04/16/2015, 5/10/16, 5/23/16, 08/14/16, 04/12/2017, 08/08/2017