



HUMAN RESOURCES POLICY

SUBJECT:	Employment & Related Matters	TITLE:	PERFORMANCE EVALUATIONS		
CATEGORY: Check One	Board of Trustees <input type="checkbox"/>	Presidential <input type="checkbox"/>	Functional <input checked="" type="checkbox"/>	School/Unit <input type="checkbox"/>	
Responsible Executive:	Vice President Human Resources		Responsible Office:	Human Resources	
CODING:	30-01-20-55:00	ADOPTED:	07/01/90	AMENDED:	5/06/09
			LAST REVIEWED: 5/06/09		

PURPOSE:

To set policy whereby management provides counseling, evaluation and goal-setting relevant to expectations and performance of staff in fulfilling their position responsibilities.

RESPONSIBILITY: The Vice President for Human Resources shall ensure compliance with this policy.

APPLICABILITY: This policy applies to University staff employees only (non-faculty and housestaff).

POLICY:

In the interest of advancing the growth and development of staff, sustaining morale and meeting departmental goals and objectives, all staff shall be kept informed of their progress and any opportunities for improvement in carrying out their position duties and responsibilities.

Supervisors and managers shall be responsible for evaluating the performance of staff on a continuing basis. At least annually, all non-exempt and exempt staff shall receive a formal performance evaluation.

Special evaluations may be used in cases where staff are being considered for promotion or transfer, or at any time during the year when performance has shown marked improvement. When performance has declined or become unsatisfactory, evaluations should identify the staff member's performance deficiencies and opportunities for improvement and offer guidance for achieving such improvements.

In addition, in the evaluation process where an employee is rated below satisfactory (below **3**) continued unsatisfactory performance should be addressed through progressive discipline. Managers/supervisors must address such situations as they arise and not delay counseling.

PROCEDURE:

1. A [Probationary Assessment Form](#) must be completed approximately two (2) weeks prior to the end of the probationary period for all regular staff whose titles are covered by a collective bargaining unit who are new hires, voluntary transfers into the department, or have been promoted. The assessment will indicate whether a staff member passed or failed probation, or that probation is being extended.

- a) Justification must be provided if probation was not successfully completed or is being extended. Probation can normally be extended only once for a period of up to an additional thirty (30) calendar days for new hires; or, ninety (90) days for probations for voluntary transfers or promotions.
- b) Prior to probation being extended or staff being notified that he/she has failed probation, the campus Labor Relations Coordinator must be consulted to ensure compliance with relevant policies.
- c) The decision not to retain a staff member due to failure to pass probation, or the decision to extend a staff member's probation period is not grievable.

2. Staff shall receive annual performance evaluations approximately three (3) weeks prior to the staff member's review date.

3. Performance evaluations shall be completed by the immediate supervisor or manager, then reviewed by the department head (or designee) provided that both have had at least ninety (90) days' supervisory responsibility for the staff member.

- a) Those having less than ninety (90) days of such experience shall refer the evaluation to the next higher level of supervision for completion.
- b) Staff members who are scheduled for an annual performance evaluation and are in a new department for less than ninety (90) days due to a recent transfer shall be evaluated by the staff member's former department.
- c) Supervisors having more than ninety (90) days, but less than 180 days' responsibility for supervising the staff member shall discuss the staff member's total performance during the year with the staff member's former supervisor, if available. The current supervisor shall request a brief, written assessment of the employee's performance that should be appended to the evaluation.

4. Performance evaluations shall be discussed privately with the staff member, who shall be given the opportunity to raise questions. A staff member who disagrees with the evaluation shall be allowed to submit comments which shall become part of the evaluation.

5. The staff member shall acknowledge receipt of the evaluation, and that it was discussed by signing same. If the staff member refuses to sign the evaluation, this should be noted on the evaluation form, and witnessed and dated by another supervisor or manager.

6. The evaluation form shall be placed in the staff member's Human Resources Personnel file and will become a permanent record to which access will be limited to persons having a direct and justifiable interest. Generally, the staff member, Human Resources staff, the staff member's immediate supervisor/department head, and prospective supervisor/department head have "need to know" access. Others wishing to review the evaluations shall make such requests to the assigned Human Resources Generalist who will consult with the Director of Human Resources Services, where a determination will be made as to granting access.

7. Performance evaluation ratings are not grievable. However, if an increase was delayed or denied due to the rating, the delay or denial can be grieved if the staff member asserts:

- during the evaluation year, no prior counseling was provided that performance was deficient, and
- any increase (if applicable) might be delayed or denied

Such grievances shall be filed in accordance with relevant bargaining agreements.

8. Staff members receiving a rating of either:

- **5** (staff has made significant contributions to advance the position of the department and/or University toward excellence and prominence);
- **4** (staff member has been instrumental to the department's success and has performed in an exemplary manner); or
- **3** (staff member is proficient; performance is what is expected of a fully qualified and experienced person)

shall be eligible to participate in University-defined or collectively bargained salary increase programs, subject to the terms of those programs. Annual performance evaluations shall continue to be completed for staff members who have reached the maximum salary in their range.

NOTE: Prior to evaluating a staff member, if his/her performance is deficient, the supervisor must notify such staff that an increase may be delayed or denied (in any fiscal year in which increases are given). Such notification shall be made through a written memorandum, documented oral warning, and/or written warning regarding performance issues in a timely manner after such deficiencies are observed.

9. Staff receiving a rating of **2** (staff member occasionally fails to exhibit proficiency; improvement is necessary to meet the expectations for acceptable performance) shall not be entitled to receive an increase, if applicable – other than an across-the-board increase.

- a) The supervisor/manager shall review the performance deficiencies with staff and shall counsel staff as to the appropriate steps which should be taken to improve performance.
- b) The supervisor/manager shall review with staff any warnings or prior counseling received with respect to performance. The staff member's performance must be re-evaluated after another ninety (90) day period. If the performance is re-evaluated at a level of satisfactory (**3**) or better, then the staff member shall receive an increase subject to the limitations in section 10 below.
- c) If an increase was delayed, it would be received as of the due date of the re-evaluation. If upon re-evaluation the performance has not come up to at least a satisfactory (**3**) level, the staff member is to be advised that an increase is being denied for the balance of the year and the re-evaluation shall be considered to be a final warning (equivalent to a suspension) for the purposes of the disciplinary process.
- d) If performance remains below the satisfactory (**3**) level, such staff shall be discharged.

10. Staff receiving a rating of **1** (staff has serious deficiencies in key areas; performance fails to meet expectations and is not acceptable) shall not be entitled to receive an increase. A rating of **1** shall be considered as a final warning (equivalent to a suspension) for purposes of the disciplinary process.

- a) The supervisor shall review the performance deficiencies with the staff member. The staff member shall be counseled as to appropriate steps that should be taken to correct performance deficiencies.
- b) Counseling shall include a review of any warnings or prior counseling received with respect to performance.
- c) The supervisor shall also advise the staff member that failure to immediately correct performance to a satisfactory (**3**) or better level will result in his/her discharge.
- d) If the staff member's performance has improved to a satisfactory (**3**) or better level and is maintained for a six (6) month period, the staff member shall be re-evaluated at that time and the increase granted subject to section 9 above. The increase shall be effective as of the date of the re-evaluation.

DUTIES:

1. Supervisor/Manager:

- a) Prepares the appropriate evaluation form after reviewing the staff member's accomplishments, work habits, deficiencies, productivity, attendance and overall performance.
- b) Discusses the evaluation with the immediate manager and/or department head to arrive at a mutual understanding and agreement on the ratings.
- c) Conducts an evaluation conference with the staff member during which the basis for the evaluation is explained. The staff member must be given the opportunity to provide

comments, as well as the opportunity to submit additional information to be added to the evaluation.

- d) Secures the staff member's signature on the evaluation form indicating the evaluation was reviewed and discussed. The staff member should indicate whether he/she agrees with the evaluation. If staff member refuses to sign the evaluation, this should be indicated on the evaluation and witnessed and dated by another supervisor.

2. Manager/Department Head:

- a) Reviews the evaluation with the immediate supervisor for the purpose of ensuring that it is consistent and objective.
- b) Consults with the immediate supervisor on suggested changes to the evaluation before the evaluation conference with the staff member.
- c) Ensures that the evaluation and the evaluation conference with the staff member are conducted prior to the anniversary date.

3. Staff Member:

- a) Provides input and seeks clarification if parts of the evaluation are not clear; expresses any difference of opinion; requests additional interpretation; or, submits a rebuttal if in disagreement with the evaluation.
- b) Checks appropriate box indicating agreement or disagreement with the evaluation.
- c) Receives and signs the evaluation form as evidence that they have seen it and have had a chance to question and discuss the evaluation.

By Direction of the President:

Vice President for Human Resources