

UAR NUMBER: 301.02

TITLE: Staff Performance Management System

ORIGINATOR: Vice President for Administration & Fiscal Services

INITIAL ADOPTION: 10/21/1991

REVISION DATES: 4/16/01

PURPOSE: To establish guidelines and procedures for maintenance and administration of Personnel Policy PG-50, Staff Performance Management System.

PROCEDURAL REFERENCES:

BOR – Personnel Policy PG-50

SCOPE (Who is covered by this UAR?): This regulation is applicable to the non-exempt staff grades 1-7 and the exempt staff grades 1-10. This regulation will be applied consistently and uniformly across all university departments/units.

DESCRIPTION:

PURPOSE: To establish administrative practices and procedures for implementing the Staff Performance Management System (SPMS) in compliance with PG-50.

PROCESS: An annual Performance Planning, Appraisal and Development Review for all regular full-time and continuing part-time staff employees shall be conducted on a calendar year basis (January through December). The appraisal shall include two components: (1) specific job related duties and (2) behavior and ability factors.

The Office of Human Resources shall be responsible for monitoring the SPMS and for maintaining the official copy of the appraisal form as a part of each employee's personnel file. Training and continuing education on the SPMS will also be available through the Office of Human Resources.

Confidentiality. Due to the sensitivity of performance appraisals, supervisors and others who are involved in the performance appraisal process shall exercise extreme care in maintaining confidentiality of the appraisal.

Staff Development and Training. One of the objectives of the appraisal process is to identify those employees who need additional training or development. Any employee who receives an overall rating below "Employee fully succeeds on all performance requirements; good solid performance." (see Section I, Performance Planning, Appraisal and Development Form) should be considered for training.

Failure to Meet Minimum Performance Requirements. In cases where an employee has successfully completed the probationary period in his/her current job but subsequently receives an annual performance appraisal which places the employee below

“Employee minimally meets performance requirements; performance needs improvement”, based upon the overall rating, the employee shall again be placed in probationary status for a period of three months. During this probationary period, the employee must be appraised at 30 day intervals. If “Employee fully succeeds on all performance requirements; good solid performance,” based upon the overall rating is not achieved during this three month probationary period, the employee shall be dismissed from employment.

Performance Pay. From the resources available annually for staff salary increases, it shall be an objective of the University to adjust the salaries of employees who are performing at the highest levels. Performance pay is a component of the staff salary distribution plan.

To receive performance pay, the employee must be performing at the highest levels and have at least three months, excluding probationary time, in an annual appraisal period (January through December).

The President will determine annually the percentage of the University’s staff salary pool to be allocated for performance pay.

Restricted Fund Employees. Restricted fund employees are those employees hired in positions for projects/programs funded from external sources. Contracts for restricted fund employees will be issued on a year-to-year basis in accordance with the annual funding cycle for the grant or contract.

When the restricted program’s salary pool is less than the funds available at the University, the University will not supplement the external grant and the total salary pool will be limited to that amount provided in the grant.

When the restricted program’s salary pool is greater than the funds available at the University, the restricted program’s salary increase pool for the past five years, as compared to the University’s salary increase pool, will be considered in determining the amount of the salary pool to be distributed to the restricted program’s employees.

PROCEDURES: The following procedures shall apply in accomplishing the appraisal of employees:

Probationary Appraisal: Probationary (new-hire or internal transfer) appraisals will be consistent with PSE-2 (Staff Exempt)

and PSNE-2 (Staff Nonexempt) with probationary appraisals accomplished according to the following procedure:

1. At the beginning of the probationary appraisal period, the supervisor shall meet with the employee to identify job accountabilities and expectations to be considered in the performance appraisal.
2. At the end of the probationary period, the supervisor will use the Performance Planning, Appraisal and Development Form to appraise the level of performance of the employee. This preliminary appraisal may be reviewed by the next level manager (reviewer), at the reviewer's discretion prior to the supervisor's meeting with the employee for the probationary appraisal.
3. The supervisor will then meet with the employee to review the Performance Planning, Appraisal and Development Form. Both the supervisor and the employee must sign the completed form. The employee's signature does not imply agreement but merely indicates that he/she has read the probationary appraisal. The completed form will be forwarded to the reviewer for his/her signature. After signing the form, the reviewer will return it to the supervisor.
4. The supervisor will retain a copy of the form, provide a copy to the employee, and send the original copy to the Office of Human Resources where it will be filed in the employee's personnel file.

NOTE: If the initial probationary evaluation is completed in December, no annual appraisal is required for that year.

Annual Appraisal. The annual performance appraisal will be conducted according to the following procedure:

1. At the beginning of each annual appraisal period, the supervisor shall meet with the employee to identify job accountabilities and expectations to be considered in the performance appraisal. This meeting shall follow either the initial probationary appraisal or the last annual appraisal. Supervisors who have employees under a generic job description specific to the unit shall use the same accountabilities for all those employees. For generic job descriptions that are used across the

University by different supervisors (e.g. “secretaries”), the Office of Human Resources will identify common job accountabilities to be appraised.

2. A Performance Planning, Appraisal and Development Form may be completed at mid-year (June-July) to allow the supervisor and employee to identify areas where the employee needs to improve. This appraisal will not be sent to the Office of Human Resources nor will it become a part of the employee’s official personnel file. The supervisor should retain a copy of this appraisal.
3. Near the end of each appraisal period, the employee may be asked to do a self-appraisal using the Performance Planning, Appraisal and Development Form. This self-appraisal can provide the employee with an opportunity for input and may assist the supervisor in making the final appraisal.
4. At the end of the appraisal period (i.e. December), the supervisor will use the Performance Planning, Appraisal and Development Form to appraise the level of performance of the employee. The preliminary appraisal may be reviewed by the next level manager (reviewer), at the reviewer’s discretion prior to the supervisor’s meeting with the employee for the final appraisal.
5. The supervisor will then meet with the employee to review the appraisal. Both the supervisor and the employee must sign the completed form. The employee’s signature does not imply agreement but merely indicates that he/she has read the appraisal. In the event that the employee does not agree with the appraisal, a rebuttal may be attached. The completed form, with rebuttal if any, will be forwarded to the reviewer for consideration. After action has been taken by the reviewer, the form will be returned to the supervisor.
6. The supervisor will retain a copy of the form, provide a copy to the employee, and send the original copy to the Office of Human Resources where the appraisal score will be recorded and the form filed in the employee’s personnel file.

GENERAL:

Any question concerning the Staff Performance Management System or the application of this administrative regulation should be directed to the Office of Human Resources.

Approved by: C. Nelson Grote, President

Date: 10/21/1991