

Performance standards and expectations, based on an up-to-date position description, should be clearly communicated to employees at the time of appointment to their position and as they change thereafter. Employees should also receive adequate training necessary to effectively perform the duties and responsibilities of their position.

All non-temporary employees will be evaluated at least annually on their performance.

The following will provide information on:

- Types of Evaluations
- Evaluation Ratings
- Developing Performance Standards/Expectations and Setting Goals
- Completing and Submitting an Evaluation
- Conducting an Annual Performance Review
- Absence of an Evaluation
- Substandard Evaluations
- Alternate Rater

### **Types of Evaluations**

#### **Probationary Evaluation**

First-time appointees to Staff classes will receive a probationary evaluation at the end of their probationary period for the class. A probationary evaluation is required for both initial and subsequent probationary periods when an employee enters a class in which he/she does not have regular status.

The probationary evaluation is to be completed within the 30 calendar day period prior to the probationary end date. The probationary end date is the day prior to the date the employee will have been appointed to the class with probationary status for six months (e.g., if the appointment date is February 1<sup>st</sup>, the probationary end date will be July 31<sup>st</sup>). For law enforcement classes, the probationary period is 12 months.

#### **Annual Evaluation**

An annual evaluation should only assess performance for a one-year period. An annual evaluation is to be completed within the 30 calendar day period following the annual evaluation date. Annual evaluation dates are based on employee anniversary dates, unless otherwise specified, with exceptions due to a probationary or special evaluation. Due to specific needs of the organizational unit or area, the dean/director/designee may designate a different regular 12-month period for evaluating Staff employees in the college/division. HR must be informed in writing of this alternate annual evaluation schedule. The three most common annual evaluation schedules are:

1. Anniversary Date in Class – If performance evaluations are completed using the anniversary date, the annual evaluation date will coincide with the effective date the employee was appointed to the class with probationary status. The period covered will be the anniversary date through the day prior to the next anniversary date (e.g., if the anniversary date is February 1<sup>st</sup>, the annual evaluation period will be February 1<sup>st</sup> through January 31<sup>st</sup>).
2. Calendar Year – If performance evaluations are completed using the calendar year from January 1<sup>st</sup> through December 31<sup>st</sup>, the annual evaluation date will be January 1<sup>st</sup>.
3. Fiscal Year – If performance evaluations are completed using the fiscal year from July 1<sup>st</sup> through June 30<sup>th</sup>, the annual evaluation date will be July 1<sup>st</sup>.

For employees who have completed a probationary period, the annual evaluation will only cover the period of time from the day after their probationary end date through the day before their annual evaluation date (whether anniversary, calendar, fiscal or other). This may mean the annual evaluation covers a period of time that is less than 12 months, since the probationary period was covered by the probationary evaluation.

For law enforcement classes, where the probationary period is 12 months and the annual evaluation date is the anniversary date, the initial annual evaluation will cover the period from the anniversary date of the second year to the end of the second year in the class, except as might be modified by special evaluations.

An annual evaluation for an employee who is returned from military leave will cover only the time not on military leave. The employee's performance while on military leave will be considered to be at the same rating as the employee's preceding evaluation.

### **Special Evaluation**

A special evaluation may be completed:

- At any time the supervisor determines the employee's overall performance has changed from the level reflected on the most recent evaluation.
- During the initial probationary period to address substandard performance.
- In response to a written request for a performance evaluation, provided the employee has not received an evaluation in six months and has not received an evaluation with an overall substandard rating.
- For other reasons, such as when the employee or employee's supervisor leaves a position.

When an employee's overall performance rating drops to "Needs Improvement," "Unsatisfactory," or "Below Performance Standards" (law enforcement classes only), a special evaluation should be completed, except when a probationary or annual evaluation is due to be completed.

The beginning date reflected on a special evaluation should not overlap with a previous evaluation period. For example, if an employee's annual evaluation period ended on June 30<sup>th</sup>, the beginning date on the special evaluation should not be any earlier than July 1<sup>st</sup> of that same year, even if an annual evaluation was not completed.

### **Evaluation Ratings**

There are five performance ratings for Staff employees (except those in designated law enforcement classes/positions):

1. Exemplary – performance far exceeds all standards/expectations. Exceptional results are consistently produced.
2. Commendable – performance frequently exceeds standards/expectations.
3. Achieves – performance consistently meets standards/expectations. Requisite competencies and knowledge are demonstrated.
4. Needs Improvement – performance does not consistently meet standards/expectations. Some requisite competencies and knowledge are demonstrated. Individual may still be learning the job and/or functions and requires additional time to develop.
5. Unsatisfactory – performance does not meet standards/expectations. Major deficiencies require immediate attention and improvement.

There are three performance ratings for Staff employees in law enforcement classes/positions for which such ratings are designated:

1. Exceeds Performance Standards – performance is consistently above performance standards/expectations.
2. Achieves Performance Standards – performance ranges from a marginal level to the expected level.
3. Below Performance Standards – performance consistently fails to meet performance standards/expectations.

### **Developing Performance Standards/Expectations and Setting Goals**

Performance standards and expectations should be clearly communicated to an employee at the time of appointment to a position and as they change thereafter. Performance standards and expectations are based on the specific duties, responsibilities and requirements outlined in the position description for a position and should address performance at the "Achieves" level, at a minimum. Standards should communicate how well (quality, quantity, timeliness, etc.) an employee is expected to perform the job. Expectations are the competencies and attributes the employee is expected to demonstrate. For guidance, see "Developing SMART Performance Standards, Expectations and Goals."

It is an expectation that employee goals will align with the university's strategic plan, vision, mission, values, and goals. Therefore, when developing goals, the following question should be kept in mind: What are the ends toward which efforts will be directed to meet organizational needs? Goals are typically established annually at the beginning of the annual evaluation cycle and should be monitored periodically during the cycle to discuss the employee's progress and whether any of the goals need to be modified. Two types of employee goals are performance goals (what the employee will strive to achieve) and development goals (what the employee will learn and/or what competencies the employee will work to develop). For guidance, see [Developing SMART Standards, Expectations and Goals](#) and the [Quarterly Performance Check-In form](#).

Refer to the HR Organizational Development website ([Performance Management](#)) for training on performance planning (including setting standards, expectations and goals), coaching, feedback, monitoring and performance review.

### **Completing and Submitting an Evaluation**

Supervisors are responsible for tracking probationary and annual evaluation dates and for completing the written evaluation in a timely manner, as specified above. The required form for the supervisor to complete is the Staff Performance Evaluation form. In addition, it is recommended the employee complete a Performance Self-Assessment form. The information from the self-evaluation can be used by the supervisor in the overall review of the employee's performance and in setting future goals.

An evaluation is only valid once it is signed by the supervisor and the employee has been given an opportunity to review and sign it. However, an employee's signature acknowledges receipt only, not necessarily agreement, with an evaluation. If an employee refuses to sign the evaluation, the supervisor will note on the document the date the evaluation was discussed with the employee and that the employee refused to sign, and will provide a copy of the evaluation to the employee. All documents and attachments with original signatures should be forwarded to HR for the employee's personnel file.

### **Conducting an Annual Performance Review**

An annual performance review, including documentation of an overall performance rating, is required for all employees. As part of this review, the employee's performance for the preceding year is compared to standards, expectations, goals, and performance indicators. In addition to documentation compiled by the supervisor during the year, which may include information on the Quarterly Performance Check-In form (if applicable), a Performance Self-Assessment form completed by the employee should be used. The following are the essential elements of an annual review. The supervisor will:

1. Review with the employee his/her performance during the preceding year and document the employee's overall performance rating using the Staff Performance Evaluation form.
2. Review/update the position description with the employee.
3. Communicate performance standards and expectations to the employee.
4. Set goals with the employee for the upcoming year.

## **Absence of an Evaluation**

### **Probationary Period**

If an evaluation is not prepared and presented to the employee prior to the end of the probationary period, the employee will attain regular status in the class by default and the employee's overall performance rating will be considered to be at the "Achieves" level.

A supervisor may replace the overall "Achieves" rating with a higher rating by submitting the evaluation to HR, along with written justification for the action, within 60 calendar days following the original due date of the evaluation.

If the supervisor deems a lower overall rating is appropriate after an "Achieves" rating is attained, a special evaluation covering a sufficient amount of time after the probationary end date can be prepared and presented to the employee.

### **Employee with Regular Status**

For an employee who has received a previous evaluation in the class or an automatic "Achieves" rating at the end of the probationary period in the class (as described above), in the absence of an evaluation, the employee's preceding rating will remain the current overall performance rating until a special or annual evaluation is issued which changes it.

An employee may request a written performance evaluation provided the request is made in writing, it has been at least six months since his/her last evaluation, and the last evaluation did not have an overall substandard rating. The employee must receive a written evaluation within 30 calendar days from the date of the request.

## **Substandard Evaluation**

### **Probationary Period**

For procedures on substandard performance of probationary employees, refer to the [Probationary Employees](#) webpage.

### **Employee with Regular Status**

An employee with regular status may receive an overall substandard rating for an annual evaluation or at any time for a special evaluation when there is sufficient change in the employee's performance for it to be considered at the "Needs Improvement," "Unsatisfactory," or "Below Performance Standards" (law enforcement classes only) level. An evaluation with an overall substandard rating is to be prepared by the immediate supervisor and reviewed and approved by the next level supervisor. A supervisor should contact HR for guidance if an employee will be given a substandard evaluation.

An employee not meeting performance standards/expectations should receive appropriate coaching and training, as necessary. An employee with continuing substandard performance can be removed from the class provided certain steps are followed.

After a substandard evaluation has been presented to an employee, HR will advise the supervisor in writing (with a copy to the employee) of his/her responsibilities and the options for dealing with the employee's performance deficiencies.

When an employee with regular status receives a substandard evaluation, the supervisor will:

1. Provide the employee with written performance standards/expectations (i.e., a performance improvement plan). (See [Performance Improvement Plan Sample Format](#) and [Developing SMART Performance Standards, Expectations and Goals](#) and/or contact HR for assistance.)
2. Continue to coach the employee in an effort to help the employee improve his/her performance during the performance improvement (i.e., re-evaluation) period.
3. Conduct periodic progress review meetings (preferably weekly or biweekly) during the re-evaluation period and document coaching efforts in writing, with a copy to the employee and HR.

If an employee receives a substandard evaluation but the supervisor fails to comply with the above procedures, HR, at its discretion based on the facts, may reinstate the employee's previous rating of record at any time after 60 calendar days from the date the employee received the evaluation.

The length of the re-evaluation period will be no less than 60 calendar days from the date the employee is provided with a performance improvement plan. After an initial re-evaluation period, additional periods for improvement may be afforded the employee, up to a total of six months from the date he/she received the performance improvement plan. At the end of this period, a follow-up special evaluation must be completed.

If the employee's performance does not improve to at least the overall "Achieves" level within the designated improvement period(s), the supervisor should initiate action to remove the employee from the class.

Removal from the class means the employee is given a change in assignment, is demoted, or is dismissed. The university will not dismiss an employee with regular status without first considering change in assignment or demotion options, typically within the employee's college/division. The employee's overall performance and discipline record may be taken into consideration. Any such action may not be taken until authorized by HR.

An employee will not be removed from the class without appropriate documentation of the performance deficiencies, a performance improvement plan, and a performance improvement period of at least 60 calendar days. There must be a minimum of two substandard performance evaluations and documented evidence the supervisor made a good faith effort to work with the employee, who then did not improve his/her performance to at least the overall "Achieves" level.

To initiate removal of an employee from his/her class due to continuing substandard performance:

1. The supervisor must submit a request in writing to the dean/director/designee.
2. If in agreement with the request, the dean/director/designee will forward a written endorsement for such action to HR. The recommendation will include the proposed action (i.e., change in assignment, demotion, or dismissal) and the justification.

HR will review the recommendation for removal from the class and the supporting justification to determine if just cause has been established and conditions support the proposed action. If the recommendation is accepted and involves demotion or dismissal, HR will coordinate the final action with the department.

If it is determined to be in the best interest of the university for a change in assignment or demotion to be made outside the employee's college/division, it will not be made across vice presidential lines unless it is to a position (or comparable position) the employee previously occupied with an acceptable performance and discipline record. In these cases, changes in assignment or demotions may be mandatory, as determined by HR. Any other change in assignment or demotion across vice presidential lines will only be made with the consent of the vice president.

An employee with regular status will not be dismissed without the benefit of a predetermination conference and the approval of HR.

**Employee's Rights and Responsibilities**

Employees are encouraged to participate in the process by providing written comments on the evaluation form regarding their substandard evaluation. An employee may attach additional pages as necessary. A copy of any additional pages should be submitted to the supervisor, the next level supervisor, and HR to be attached to the original performance evaluation as soon as possible after the employee receives the evaluation.

The employee should sign the performance evaluation indicating the evaluation has been discussed with the employee. This does not imply agreement or disagreement with it.

An employee will be informed of the basis of the substandard evaluation and, upon written request, will be provided with a copy of any documentation used in completing the evaluation.

Upon written request, employees with regular status will be granted an opportunity to discuss with the next level supervisor any concerns regarding the substandard evaluation.

**Alternate Rater**

In lieu of an employee being evaluated by the next level supervisor, the dean/director/designee may designate an alternate rater when the employee's supervisor is unavailable to assess the work of the employee, whether as a result of the supervisor's leave of absence, vacancy of the supervisor's position, or removal of some or all of the supervisor's supervisory responsibilities.

The dean/director/designee must provide the employee with written notification of the designation prior to a performance evaluation being prepared. The written notification will include:

1. The name, title, and position number of the employee designated as the rater;
2. The length of time the employee will be designated as the rater; and
3. An explanation of the circumstances necessitating the action.

A copy of the notification must be submitted to HR to be placed in the employee's personnel file.