Revised January 15, 2016

SUBJECT: Staff Performance Evaluation and Planning

1. **General Information.** To establish guidelines for conducting performance evaluations for staff employees. Performance reviews are designed to determine how well employees achieve their established goals, perform job duties, and interact with customers, coworkers, and team members. Supervisors and managers are responsible for establishing departmental goals that contribute to the University's mission. They are also responsible for evaluating employee performance of essential duties, and for working with each employee in the department to establish individual employee goals that contribute to both the department's and the University's mission.

2. **Purpose.** The purpose of the employee performance evaluation is to help staff employees focus their work activities so the employee, department, and University can achieve their goals. All staff employees should receive a performance evaluation at least once a year in accordance with the time lines identified in this Presidential Directive. In accordance with UW Regulations, supervisors shall be evaluated by their administrative superiors, in part, on their attentiveness to completion of evaluations for employees under their supervision. The performance review program is designed so that employees:

   a. Are aware of what is expected of them;
   
   b. Receive feedback about their performance;
   
   c. Discuss opportunities for training, career development, and promotional opportunities; and
   
   d. Receive recognition in a fair manner.

   The performance review may be used as the basis for personnel decisions, including career development, salary increases, and corrective action, if appropriate.

3. **Time Requirements.** Completed Staff Performance Evaluation and Planning documents must be received in the Human Resources Department by March 30th of each year. The evaluation period will be the prior calendar year. Departments must establish internal deadlines to ensure that supervisors are evaluated after completion of their employees’ evaluations.

   Employees who have a mid-year change of supervision due to a transfer, promotion or change in supervisors should be evaluated by the new supervisor if the change is effective prior to October 1st. The previous supervisor should conduct the evaluation if the transfer or promotion is effective between October 1st and December 31st. In either case it is appropriate for the current supervisor to contact the prior supervisor for feedback.

4. **Supervisor Responsibilities.** All supervisors will be accountable for the responsibilities listed below and the timeliness and quality of the performance reviews conducted for each of their employees. The responsible Vice President should be notified of any exception to the staff evaluation process. Supervisors should:
a. Review the employee’s position description for accuracy;

b. Complete training on performance management process;

c. Establish departmental goals and objectives;

d. Seek input from employees, work with employees to develop individual goals, and identify essential duties and relevant job competencies;

e. Provide employees with clear expectations, consistent measures, and achievable standards of performance;

f. Provide support and resources for employees to meet performance standards;

g. Engage in ongoing performance discussions that includes feedback on established goals/duties as well as an annual performance review;

h. Identify and document performance deficiencies and provide assistance for correction;

i. Assist employees in identifying and participating in career development and training programs;

j. Recognize high levels of performance; and

k. Conduct an evaluation for each assigned employee, including a face-to-face meeting with each employee to discuss the evaluation.

5. **Employee Responsibilities.** Each employee is responsible for:

a. Providing input to his/her supervisor in the development of individual goals that contribute to departmental goals and the University's mission;

b. Meeting expectations and achieving performance standards;

c. Discussing concerns and/or questions about any part of the job description or performance review with his/her supervisor;

d. Identifying and requesting participation in career development and training opportunities.

6. **Probationary Employees.** Upon hire, new (probationary) employees and their supervisors should discuss the essential duties and expectations of the new position, and establish a time line for training the probationary employee. It is highly recommended that probationary employees receive one or more evaluations on the Staff Performance Evaluation during the probation period. The probation period may be extended for six months at the direction of the responsible Vice President. Any extension of the probation period should be communicated during a performance evaluation meeting and documented on the Staff Performance Evaluation. After successful completion of the probationary period, the employee will join the normal annual cycle of evaluation.
7. **Training.** Training is critical to a quality performance evaluation program. Individuals responsible for reviewing employee performance will complete training on how to implement the performance review and recognition program.

New supervisors are expected to attend a training session on conducting effective performance evaluations within one year of their appointment as a supervisor. This requirement may be satisfied by completing supervisor training through Human Resources, or by attending a designated training session. Online training is available as a supplement to face-to-face training.

8. **Definitions.**

**PDQ (Position Description Questionnaire) Form:** The Human Resources form which describes a position's essential duties, responsibilities, skills, knowledge, abilities, and the minimum requirements for qualification and is used to assist in the classification process.

**Essential Duties:** These are the tasks, duties and responsibilities for which the position exists. The removal of any of these duties would change the character of the position.

**Weighting Factor:** Duties, factors, and goals may be weighted in accordance with their importance in an employee's performance expectations.

**Points:** Points are awarded based upon the employee’s performance on each essential duty, performance factor, and objective. A score of 1 to 5 points is awarded to each duty, factor or objective based on the following chart:

- **5 Exceptional:** Performance far exceeds the job responsibilities and requirements.
- **4 Exceeds Expectations:** Performance exceeds the job responsibilities and requirements.
- **3 Meets Expectations:** Job responsibilities and requirements were successfully achieved, demonstrating complete position competency.
- **2 Almost Meets Expectations:** Typically meets majority of the key requirements of the job, but occasionally falls below established limits. Fails to progress toward one or more targeted results.
- **1 Unsatisfactory:** Fails to meet general requirements of the job and progress towards targeted results. Competency level is inadequate to satisfy requirements of this position.

**Overall Rating:** The overall rating combines the individual weighted assessments for each job duty into one overall score. This score will be between 1 and 5, which indicates the overall performance level. See the above chart for descriptions of performance levels. A minimum overall rating of “3” is required to be eligible for a merit pay adjustment.
9. **Employee Disagreement with Written Review.** If a post-probationary employee disagrees with his/her written performance review, the employee may:

   a. Insert a written response to the performance review within the employee comment section; and/or

   b. Request reconsideration by the next level supervisor/appointing authority.

   The final decision is made by the appointing authority taking into consideration any attached responses, reconsiderations, and/or guidance from the Director of Human Resources. All pay increases allocated using performance evaluation ratings are discretionary and employees shall have no expectation of any pay increase. Although staff may appeal an evaluation as provided in this section, there is no appeal process to contest a pay adjustment associated with a performance evaluation rating.

10. **Responsibility.** The responsibility for administration of this directive rests with the Director of Human Resources. Questions relating to the administration of this directive should be referred to the Human Resources Department.

Approved

[Signature]

Richard C. McGinity
University President

1/19/16

Date

Source:
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