

## **Performance Evaluation for Unclassified Staff and Certain Academic Administrators Implementation Procedures**

### **Policy**

Please refer to the University's policy entitled "Performance Evaluation for Unclassified Staff and Certain Academic Administrators Policy" ("Policy"), effective November 24, 2014.

### **General Procedures**

This document describes general implementation procedures ("Procedures") developed to effectuate the Policy's purpose of a "timely, objective, and consistent" annual performance evaluation process ("Evaluation") for covered employees. These Procedures describe the evaluation cycle; the evaluation criteria; the rating scale and scoring; the definition and selection of evaluators; and guidelines for developing a written Performance Expectation Plan ("Plan").

The annual Evaluation will be implemented on-line. Operational procedures and instructions specific to the on-line process (e.g., log-in instructions, selection of evaluators via computer-generated random algorithm from proposed names, etc.) are to be presented in a separate instructional document.

### **Application**

Under the Policy, these Procedures apply to the process of performance evaluation of the following University employees (hereafter, "Employees"):

1. unclassified staff and certain academic administrators, including Deans, School Directors, and the Director of the Graduate School,
2. who are employed full-time or part-time; but
3. excluding student workers, teaching assistants, graduate assistants, and casual wage employees; and
4. excluding classified employees; faculty; the President; the Executive Vice-President; the Vice-Presidents for Student Affairs and Academic Affairs; the Chief Business Officer; the Athletics Director; the Internal Counsel/EEO Administrator; and such other administrative positions in the direct reporting line to the President that the President may exclude from this policy at the President's discretion because these employees are evaluated under other established performance evaluation frameworks.

### **Definitions**

**Budget Unit Head** is a department/ unit head having the responsibility for managing that department's/ unit's budget.

**Colleague** is any other full-time or part-time classified or unclassified University employee, *but excluding casual wage employees, student workers and graduate/ teaching assistants*. A Colleague may work in the same unit or a different unit than the Employee. A Colleague may function at the Employee's same professional level or different level. The evaluated Employee should propose as potential Evaluators those Colleagues who are most familiar with the Employee's work through occasional to regular interaction. A

Colleague designated as an Evaluator for a fellow Employee shall complete the evaluation of the Employee in a timely manner.

**Direct Report employee** is a full-time or part-time classified or unclassified University employee, *but excluding casual wage employees, student workers and graduate/ teaching assistants*, who reports directly to a Supervisor being evaluated under this Policy. A Direct Report employee who is designated as an Evaluator for his or her Supervisor shall complete the Evaluation of the Supervisor in a timely manner. As explained below, not every Direct Report employee will be designated to evaluate his or her Supervisor.

**Employee** is any University employee covered by the Policy and these Procedures. *See "Application," above.* Casual wage employees, student workers, graduate assistants and teaching assistants are not defined as "Employees" for purposes of the Policy and these Procedures.

**Evaluator** is any University employee proposed as a Colleague evaluator or a Direct Report employee evaluator by the Employee being evaluated and who is then designated to evaluate that Employee.

**Supervisor** is an Employee who is evaluated under the Policy and these Procedures because she/ he directly oversees the work of one or more university employees, whether those employees are classified or unclassified, but excluding casual wage employees, student workers and graduate/ teaching assistants.

### **New Employees and Employees in New Positions**

The immediate supervisor of any new Employee covered by the Policy and these Procedures is required to introduce that Employee to the Policy and Procedures within 30 days of the Employee's date of hire for his/her position whether the Employee is:

- a new Employee of the University or
- an existing Employee who has been hired into a new position with the University.

The Employee's immediate supervisor should relate the expected performance standards ("Expectations") to the duties and responsibilities particular to the Employee's job.

Then both Employee and immediate supervisor shall sign and date the form entitled "Performance Expectation Plan" ("Expectation Plan"). The Expectation Plan is available on the Office of Human Resources web page.

The Employee's immediate supervisor shall submit the signed and dated Expectation Plan to the Office of Human Resources for retention in the Employee's confidential personnel file.

### **Evaluation Cycle**

The effective date of the Evaluation and resulting Plan shall be April 1 of each year.

The performance period for which the Employee will be evaluated is the Performance Evaluation Year ("Year"). For the upcoming cycle (2015-16), this 11-month period runs from June 1, 2015 to April 30, 2016. For subsequent years, the 12-month period will run from May 1 of the preceding year to April 30 of the current year.

The Evaluation shall proceed in three (3) general phases\*:

1. Employee proposes Evaluator names	Employee electronically submits the names of a total of four (4) names of potential Evaluators chosen from among the Employee’s Colleagues and Direct Report Employees. (See instructions below.)	April 1 to April 14
2. Evaluation completion period	Evaluation web-based program uses a computer-generated algorithm to select two (2) Evaluators from among the four (4) proposed Evaluator names submitted by the Employee and sends e-mail notification with Evaluation instructions. All participants complete and submit Evaluations electronically. Evaluation web-based program averages and summarizes Evaluation results.	April 15 to April 30
3. Review and Planning	Supervisor and Employee hold a Performance Expectation Plan session to review Evaluation results and set written goals for the next Year.	May 1 to May 31

\* Exact dates within the Evaluation Cycle may change to accommodate for university holidays.

**Performance Expectations**

The Evaluation criteria shall be organized by nine (9) categories of performance expectations (“Expectations”), as measured by the observable behaviors listed below. Those categories shall be:

1. Communication/ Cooperation
2. Professionalism/ Integrity
3. Decision-making/ Problem-solving
4. Planning/ Organizing
5. Service Quality
6. Supervision/ Leadership
7. Performance Planning and Review
8. Budget and Cost Management
9. Dependability and Reliability

At a minimum, any Employee covered by the Policy and these Procedures shall self-evaluate and shall be evaluated by the Employee’s immediate supervisors and the Employee’s designated Evaluators (comprised of Colleagues or a combination of Direct Report employees and Colleagues) by completing Expectations 1-5.

**NOTE:** Although classified employees are not evaluated under the Policy and these Procedures, a classified supervisor of an Employee covered by the Policy and these Procedures is required to evaluate that Employee according to the Policy and these Procedures.

If an Employee is a Supervisor and/ or a Budget Unit Head, the Employee shall be evaluated on Expectations 6-9, as applicable.

Expectations should be completed as follows:

Expectations 1-5: Employee (as self-evaluation)

- : Employee’s supervisor (whether that supervisor is classified or unclassified)
- : Employee’s designated Evaluators (comprised of Colleagues or a combination of Direct Report employees and Colleagues)

Expectations 6-7: Employee acting as a Supervisor (as self-evaluation)

- : Supervisor-Employee’s designated Direct Report employees
- : Supervisor-Employee’s supervisor (whether that supervisor is classified or unclassified)

Expectations 8-9: Employee acting as a Budget Unit Head

- : Budget Unit Head-Employee’s supervisor (whether that supervisor is classified or unclassified)

**PERFORMANCE EXPECTATIONS**

<b>EXPECTATION #1</b>
<b>Communication/ Cooperation</b>
Ability to work as a team member
Ability to foster collegial relationships with other University departments
Timeliness and correctness of responses to inquiries and requests
Use of proper channels to communicate with colleagues and supervisors

<b>EXPECTATION #2</b>
<b>Professionalism/ Integrity</b>
Adherence to University policies and procedures
Accountability for own actions, decisions, and results
Good time management in meetings and prompt follow-up, when required

<b>EXPECTATION #3</b>
<b>Decision-making/ Problem-solving</b>
Promptness in reporting/ beginning to resolve problem situations
Collection of pertinent facts/ resources before acting
Use of sound judgment in solving problems

<b>EXPECTATION #4</b>
<b>Planning/ Organizing</b>
Efficient use of available resources (financial, human, physical)
Ability to plan appropriately before starting a project: goals/ priorities/ tracking/ deadlines
Openness to constructive suggestions for change

<b>EXPECTATION #5</b>
<b>Service Quality</b> (including service to faculty, staff, students, and public)
Courtesy shown to all, inside and outside University community
Accurate identification of person's needs
Promptness, thoroughness in follow-through to inquiries and requests for assistance

<b>EXPECTATION #6</b>
<b>Supervision/ Leadership</b>
Equal treatment of all employees under supervision
Setting of realistic project goals
Quality of resources, guidance, and training provided to employees under supervision
Ability to motivate employees to work together as a team
Appropriateness and promptness of rewards/ discipline/ conflict resolution

<b>EXPECTATION #7</b>
<b>Performance Planning and Review</b>
Communication of performance expectations
Timeliness and thoroughness of performance planning sessions with employee(s)
Documentation of employees' job performance
Usefulness and timeliness of feedback given to employees
Setting of realistic performance goals

<b>EXPECTATION #8</b>
<b>Budget and Cost Management</b>
Management of budget and efficiency of cost control
Adherence to policies and procedures related to budget
Timely communication of budget issues
Adherence to fiduciary procedures and safeguards (e.g., cash/ check handling)

<b>EXPECTATION #9</b>
<b>Dependability and Reliability</b>
Completing assignments and timesheets on time
On-time arrival; completion of scheduled shift/day
Commitment to assuring coverage of duties when absent/on leave
Meeting Goals as Outlined in Performance Expectation Plan

**Ratings**

Each item within an Expectation category shall be rated according to the following values:

Rating	Point Value	Explanation
<b>O = Outstanding</b>	<b>5</b>	Employee works and/ or behavior consistently exceeded goals, responsibilities and/ or job requirements. Employee required almost no direction and supervision in performing at this level. This rating should be reserved for unusually exceptional performers.
<b>VG = Very Good</b>	<b>4</b>	Work and/ or behavior frequently exceeds goals, responsibilities, and/ or job requirements. Quality of performance is consistently high. Employee required minimal supervision in performing at this level.
<b>M = Meets Expectations</b>	<b>3</b>	Work product and/ or behavior consistently met performance expectation by sufficiently fulfilling job requirements. Employee required occasional supervision in order to perform at this level.
<b>^NI = Needs Improvement</b>	<b>2</b>	Work product and/ or behavior occasionally failed to meet requirements and expectations. Employee requires high amount of supervision to complete assignments and fulfill expectations, but potential for improvement is evident.
<b>*^U = Unsatisfactory</b>	<b>1</b>	Work product and/ or behavior consistently fails to meet expectations and requirements. Performance clearly does not meet minimum standards of position as related to criterion. Constant supervision and guidance is needed. A lack of performance improvement should result in the commencement of dismissal procedures.
<b>N/A = Not Applicable</b>	<b>- -</b>	Evaluator cannot evaluate because Evaluator has not had opportunities to observe the work habit or behavior.

**Notes on ratings:**

^ Any Expectation item for which the Employee received a rating of “Needs Improvement” or “Unsatisfactory” from a person evaluating the Employee shall be noted and addressed by the Employee and the Employee’s supervisor in setting the Employee’s Performance Expectation Plan.

\*Any Expectation criteria receiving a rating of “Unsatisfactory” will require comment/ explanation from the person evaluating the Employee.

**Scoring and the Evaluation Summary\***

The on-line Evaluation program shall be designed to produce a summary of all scores and comments received (“Summary”)\*. The presentation of the Summary\* will be determined by the Computing Center as part of the operational procedures. However, the Summary\* shall contain at least the following information:

In the Summary\*, the scores and comments of the Employee’s self-evaluation and the Supervisor’s evaluation will be identified. The scores and comments of Colleagues and Direct Report employees will remain

anonymous, meaning those scores and comments will not be attributed to any particular Colleague or Direct Report employee.

Scores shall be averaged as follows, but excluding the Employee's self-evaluation scores. The Summary\* shall present all evaluators' scores for each individual criterion. Additionally, the scores for each criterion shall be averaged for a final criterion score. Criteria scores within each Expectation category shall be averaged for a final Expectation score. Lastly, Expectation scores shall be averaged to determine the Employee's overall Evaluation score. The Summary\* also shall present all comments submitted by evaluators.

Individual comments for criteria evaluated as "NI" or "U," if any, shall be utilized by the Supervisor and Employee in determining performance goals in the Performance Expectation Plan.

For each criterion, the Summary\* will present both the minimum and the maximum scores from across all evaluators, excluding the Employee's self-evaluation scores.

### **Evaluators**

Under these Procedures, Evaluations shall entail obtaining feedback from multiple members of the University community who have opportunities to observe and, thus, assess the evaluated Employee's performance. The Employee is best suited to propose names of other employees who can best evaluate the Employee's performance and may choose broadly from within the University community when proposing names of other employees to evaluate his/ her performance.

To encourage objective and frank performance assessments by Colleagues and Direct Report employees, the anonymity of Colleagues and Direct Report employees designated as Evaluators shall be protected to the fullest extent possible within the parameters of these Procedures and related operational procedures.

Some employees, by the nature of their positions, interact regularly with many other employees. As a result, such employees could potentially be designated as Evaluators to complete evaluations of multiple Employees. The on-line Evaluation program is designed to cap at **seven (7)** the number of times any employee can be designated as an Evaluator. However, exceptions to that maximum of 7 evaluations to be completed by any employee may be necessary from time to time. For example, if a Supervisor having only one (1) Direct Report employee submits that Direct Report employee's name as a proposed evaluator (as required, see immediately below), but that Direct Report employee has already been designated as an Evaluator for 7 other Employees, then, as an exception, the Direct Report employee will be required to complete an additional evaluation in order to satisfy the requirement that Supervisors be evaluated by their Direct Report employee(s).

### **General Instructions for Proposing Colleagues and Direct Report Employees as Potential Evaluators**

Via the web-based Evaluation program, the Employee shall propose the names of four (4) University employees from among Colleagues. As indicated below, two (2) of the proposed names will be selected at random (to the extent possible), via a computer-generated algorithm. Those persons shall be the Employee's designated Evaluators.

If an Employee does not supervise any Direct Report Employees, as described above, then the Employee shall submit the names of four (4) Colleagues as potential Evaluators from which two (2) names will be selected at random.

However, if an Employee is a Supervisor, then that Employee shall submit a combination of Colleague and Direct Report employee names as potential Evaluators as follows:

- Supervisor of three (3) or more Direct Report employees: Employee shall submit four (4) Colleague names and three (3) Direct Report employee names. Two (2) Colleagues will be designated as Evaluators. Of the Direct Report employees proposed, two (2) shall be designated as Evaluators.
- Supervisors of only two (2) Direct Report employees: Employee shall submit four (4) Colleague names and the two (2) Direct Report Employees' names. Two (2) Colleagues will be designated as Evaluators. Of the two (2) Direct Report employees proposed, both will be designated as Evaluators.
- Supervisors of only one (1) Direct Report employee: Employee shall submit four (4) Colleague names and the one (1) Direct Report employee's name. Two (2) Colleagues will be designated as Evaluators. The one (1) Direct Report employee will also be designated as an Evaluator.

### **Evaluation Review and Goal Setting**

During the Review and Planning Phase, the Employee and the Employee's supervisor shall schedule and conduct a planning session to discuss the Summary\* of the Evaluation results and create a realistic and appropriate Plan outlining performance goals for the subsequent Year.

### **Goal Setting for the New Year:**

In the planning session, the Employee and the Employee's supervisor shall review and discuss the performance Summary\* and work to set performance goals for the new Performance Year. This discussion of areas of strength and/or areas needing improvement should serve as the basis for establishing a Plan for the new Performance Year.

### **If Expectation Criteria Scores Indicate "Needs Improvement" or "Unsatisfactory"**

Goal-setting for improvement or correction

If the Employee received an average score of less than three (3) points on any individual criteria within an Expectation category, indicating individual evaluator scores of "NI" and "U," then the Employee and Supervisor must set appropriate but realistic performance goals to encourage improvement and correction of behaviors or habits related to the low-rated criteria. Guidance on improvement should be taken from Evaluator and Supervisor comments.

Periodic Informal Reviews

Additionally, once the Employee and the Employee's immediate supervisor establish a Plan, the Employee's immediate supervisor shall be responsible for conducting and documenting periodic informal reviews to assure that the Employee is progressing at least satisfactorily towards the corrective goals that were set. Once the Plan is finalized, the Supervisor shall inform the Employee that such documented periodic reviews will take place. Both Supervisor and Employee will be required to sign and date any related documentation, the form of

which is within the Supervisor's discretion. Documentation of such periodic reviews shall be submitted to the Office of Human Resources for retention in the Employee's confidential performance file.

#### Lack of Improvement

For Employees who received an average rating of less than two (2) points in any Expectation category, indicating "Unsatisfactory," performance within that Expectation category must improve based on the Plan and feedback during subsequent periodic reviews. A lack of performance improvement could result in the commencement of dismissal procedures.

#### **Signed Acknowledgements of Summary and Plan**

The Summary\* and Plan documents shall be designed to provide the Employee the opportunity to disagree in writing with any ratings, comments, and/ or corrective goals set.

All Plans shall be completed, acknowledged and submitted by May 31. The Evaluation and finalized Plan become official on the date the Employee signs his/her evaluation Summary\* and Plan, but are considered effective as of April 1, the start of the new Performance Year.

Both Employee and the Employee's immediate supervisor must sign and date the Summary\* and the Plan to signify that the documents were discussed and goals were set. An Employee cannot prevent the Evaluation or Plan from becoming effective by refusing to sign the Summary\* and/ or Plan.

Should the Employee decline to sign the Summary\* and/ or the Plan, the Employee's immediate supervisor shall note this on the form and record the date that the planning session was held.

The Employee and the Employee's immediate supervisor and the Employee shall both keep copies of the signed Summary\* and the signed Plan. Originals shall be sent to the Office of Human Resources for retention in the Employee's confidential personnel file.

#### **Revisions to Procedures: Roles of the Staff Senate and the Computing Center**

Prior to any required final executive administration level approval of any proposed revisions, the University's Staff Senate, or, a subcommittee thereof, shall review and approve all proposed revisions to Policy and/ or related implementation Procedures. Additionally, prior to approving and implementing revisions, the Staff Senate or its designated subcommittee should consult with the University's Computing Center regarding technological feasibility because changes to these Implementation Procedures may require corresponding changes to operational procedures set and administered by the Computing Center.

The Policy and these Procedures shall be housed within the Office of Human Resources.

#### **Record Retention**

Performance Evaluation Summaries\* and Plans, as well as any related documentation, including but not limited to the Acknowledgement form and any periodic reviews, shall be maintained in the Office of Human Resources in the Employee's confidential personnel files.

\*The Summary document will be utilized in performance period June 1, 2015-April 30, 2016.