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Policy Information

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UHAP 4C.2

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Policy

This section applies to annual performance reviews of service professional employees. In accordance with ABOR-PM 6-304, service professional employees are expected to participate and cooperate in evaluations to assess and enhance their performance. These employees will have an opportunity to participate in the preparation of evaluation guidelines and in the evaluation review process. The evaluation system should permit sufficient flexibility to adapt procedures to individual or organizational unit circumstances.

The evaluation procedures should pursue the following objectives:

1. To involve service professional employees in the formulation of objectives and goals related to their program areas and their own personal and professional growth.
2. To assess actual performance and accomplishments in the areas of the employee's responsibilities.
3. To promote the effectiveness of service professional employees through an articulation of the types of contributions they might make to the University community that will lead to greater personal and professional growth, recognition, and rewards.
4. To provide a written record of service professional employees' performance to support personnel decisions such as reappointment, merit increases, transfers and reemployment.
5. To recognize special talents, capabilities and achievements of service professional employees.

Service professional employees are evaluated with respect to all personnel matters on the basis of

excellence in performance. The annual performance review is intended to support service professional employees in achieving excellence in the performance of their duties and responsibilities.

Annual performance reviews follow specific procedures outlined in Section 4C.2.01.]

4C.2.01 Annual Performance Review Process

Service professionals' performance, personal progress, and future potential will be evaluated in writing on a scheduled basis at least once every 12 months, except for those with appointments intended to last less than six months.

A. Elements of the Performance Evaluation

Elements of the evaluation will include, but will not be limited to, the following:

1. Written evaluation criteria will be developed through participation of the service professional employee to express their performance expectations. Procedures and instruments for evaluation of service professional employees will be developed by departments and organizational units. Evaluation procedures within organizational units will be flexible enough to meet the particular objectives of the unit without undermining the uniformity of the whole system.
2. An assessment of the service professional employee's performance will include an evaluation by the immediate administrative head or supervisor.
3. The evaluation of the service professional employee's past performance and expectations for the future will be discussed with the service professional employee by the service professional employee's immediate administrative head or supervisor. A written statement recording the sense of this discussion will be provided to the service professional employee. The service professional employee will be given the opportunity to add comments to this statement as a part of the official record.
4. The annual performance review will evaluate the service professional employee's performance in the employee's department consistent with that department's responsibilities and University and Board policies.

B. Procedures for the Performance Evaluation

The following procedures are involved in the annual performance review of service professional employees:

1. The first step is information gathering, where the service professional employee provides information to the immediate administrative head or supervisor in a timely manner.
2. Peer evaluation, if established by the unit, will be conducted through procedures and criteria determined by service professional employees and the immediate administrative head or supervisor. The information gathered in 4C.2.01.B.1, and any other materials that may be deemed relevant, are utilized in the peer review. Results of the peer evaluation are transmitted directly to the immediate administrative head or supervisor confidentially.
3. The immediate administrative head or supervisor evaluates the service professional employee on the basis of information provided by the service professional employee, peer evaluators, if applicable, and such other information as is available. The immediate administrative head or supervisor then provides the service professional employee with a preliminary written evaluation.

4. As soon as possible thereafter, the service professional employee will receive the final written evaluation. The immediate administrative head or supervisor meets typically with the service professional employee by March 31, if possible, to discuss the immediate administrative head's or supervisor's final, written evaluation, assignments, and expectations for the next annual review.
5. The service professional employee provides comments as desired, signs the final written evaluation, and returns it to the immediate administrative head or supervisor within 10 days of the meeting described in 4C.2.01.b.4 above. The signed final evaluation will become a part of the employee's departmental records.
6. If the service professional employee is found to be performing in an unsatisfactory manner or fails to provide annual performance review information to the immediate administrative head or supervisor by the established deadline after receiving appropriate notification, the service professional employee will receive an overall unsatisfactory performance rating unless the immediate administrative head or supervisor determines that good cause exists for an exception.
7. If the service professional employee receives an overall unsatisfactory performance rating, a plan for remediation and/or further action may be developed, or the immediate administrative head or supervisor may take other actions in accordance with University policy.
8. If the service professional employee disagrees with the evaluation, the employee may appeal within 30 days of receipt of the final written evaluation as detailed in Section 4C.2.03.

4C.2.02 Annual Performance Review Criteria

Written evaluation criteria, as established in Section 4C.2.01 will differentiate between satisfactory and unsatisfactory performance and must be in accordance with the mission and goals of the department, college, or division; within the norms of the discipline; and must be approved by the college dean or appropriate vice president.

Evaluation criteria may provide for recognition of long-term activities and outcomes. Concentration of effort in one or more of the duties and responsibilities of an employee during a particular year is permissible, and may even be encouraged. Guidelines and evaluation procedures within departments will be flexible enough to meet the particular objectives of the department without undermining the uniformity of the whole system.

4C.2.03 Appeals of Annual Performance Reviews for Service Professional Employees

Service professional employees who disagree with their annual performance reviews may appeal their review to the next administrative level. Such appeals must be made in writing to the next administrative level within 30 days from the date the final written evaluation was received and must state with specificity: (a) the findings to be appealed; (b) the points of disagreement; (c) the facts in support of the appeal; and (d) the corrective action sought.

The administrator reviewing the appeal will consider the facts in support of the appeal and develop any additional facts deemed necessary. The decision on the appeal will be completed in writing within 30 days, with copies provided to the employee and the administrative head or supervisor involved in the initial annual performance review.

4C.2.04 Unsatisfactory Ratings of Service Professional Employees

If a service professional employee receives an overall annual performance review rating of unsatisfactory or fails to complete an annual review in a timely manner when provided with appropriate notification, the employee's immediate administrative head or supervisor may initiate actions in accordance with University policy, which could include termination.

Revision History*

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Links

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