

Performance Management

PURPOSE	1
POLICY STATEMENT	2
WHO SHOULD KNOW THIS POLICY	2
DEFINITIONS	2
REGULATIONS	3
1.0 TIMING AND FREQUENCY OF APPRAISALS	3
2.0 PERFORMANCE PLANNING	3
2.1 <i>Position Description Review</i>	3
2.2 <i>Performance Plan</i>	3
2.2.1 Performance Standards	4
2.3 <i>Supplemental Performance Dimensions</i>	4
3.0 PERFORMANCE APPRAISAL PROCESS	4
3.1 <i>Performance Review Sessions</i>	5
4.0 PERFORMANCE APPRAISAL RESPONSIBILITIES	5
4.1 <i>Human Resources Office</i>	5
4.2 <i>Supervisors' Responsibilities</i>	6
5.0 APPRAISAL INTERVIEW	6
6.0 OVERALL RATING LEVELS	7
6.1 <i>Disputes</i>	7
7.0 PERFORMANCE APPRAISAL LINKAGE	7
FORMS	7

Purpose

The purpose of the Policy on Performance Management is to enhance communication between supervisors and employees regarding employee performance and to link employee performance to the accomplishment of ASI's organizational objectives. Performance Management involves giving staff timely, relevant, and effective feedback in an effort to promote job satisfaction, increase competence, and develop staff in their chosen profession. By adopting a Performance Management system, the Associated Students, Incorporated seeks to improve organizational performance by developing the effectiveness of its employees, both as individuals and as teams. The policy strives to encourage individual responsibility and work improvement, and seeks to cultivate partnerships built on trust, open communication, and mutual respect. To this end, the system seeks to ensure that all employees:

- Are aware of what is expected of them,

- Are provided with continuous feedback about their performance, and
- Are provided with opportunities for education, training, and development

Policy Statement

This policy establishes a performance management system for Associated Students, Incorporated (ASI). It sets forth the performance management policies and procedures for the preparation, processing, and use of the performance appraisal system, and the linking of the performance appraisal to other human resources decisions.

It is the policy of the ASI that the management of each division, department, and unit of the corporation adheres to the Performance Management system as described herein. This system is based on the importance of managing each individual's work and maintaining continuous communication between employees and their supervisors.

This policy shall apply to all employees not covered by the provisions of the Student Assistant Classification and Compensation system.

Who Should Know This Policy

- | | | |
|--|--|---|
| <input type="checkbox"/> Budget Area Administrators | <input checked="" type="checkbox"/> Elected/Appointed Officers | <input type="checkbox"/> Grant Recipients |
| <input checked="" type="checkbox"/> Management Personnel | <input type="checkbox"/> Program Advisors | <input checked="" type="checkbox"/> Staff |
| <input checked="" type="checkbox"/> Supervisors | <input type="checkbox"/> Volunteers | |

Definitions

For purposes of this policy, the terms used are defined as follows:

Term	Definition
Added Goals	Any goal established outside of, or as an extension of, major job requirements.
Appraisal Interview	A meeting between supervisor and employee to discuss the outcome of the written performance evaluation process.
Evaluation Period	Normally, a 12-month period beginning the first day of July and ending the last day of June of each year. An evaluation period may cover a period of less than or more than 12 months, but must cover at least 120 calendar days starting with the employee's receipt of an individual performance plan.
Counseling Session	A meeting between supervisor and employee to identify the employee's strengths and/or weaknesses, to inform the employee of his or her performance deficiencies, to formulate corrective actions, if needed, and to assist the employee to identify ways to improve performance, as well as ways in which the supervisor may support any improvement.
Major Job Requirements	Key responsibilities of the job as defined in the Essential Duties and Responsibilities contained in the Position Description.
Performance Plan	A Performance Plan is a set of expectations agreed to by supervisor and employee for the performance of duties and responsibilities as outlined in the job description. A plan includes major job requirements and may include added goals.
Performance Standard	A way to measure achievement of job requirements and/or goals

Regulations

1.0 Timing and Frequency of Appraisals

All employees covered under this policy shall be evaluated at six months, twelve months, and annually thereafter. The annual evaluation period will normally cover a 12-month period. It will begin the first day of July and end the last day of June of each year. The first scheduled annual evaluation may cover a period of less than or more than 12 months, but will cover at least 120 days under an approved performance plan.

An evaluation period may be extended up to an additional 120 days, when special circumstances exist. Situations in which an extension is appropriate are:

- 1) To meet the 120-day minimum evaluation period
- 2) To provide a new supervisor an opportunity to observe an employee's performance against current requirements when information concerning the employee's past performance during the evaluation period is not available
- 3) To evaluate an employee whose overall performance has been less than "Meets Standard," due to a personal problem (e.g., illness, alcoholism, drug abuse, or other debilitating condition) and recent performance shows evidence of improvement
- 4) To provide an employee whose performance is rated less than "Meets Standard" an opportunity to improve

2.0 Performance Planning

2.1 Position Description Review

Before the development of a Performance Plan, the supervisor and employee shall meet to review the employee's current Position Description. The purpose of this review is ensure that the position description is an accurate representation of the essential duties and responsibilities of the position, as well as its minimum qualifications, physical demands and work environment. If there are any inaccuracies, the supervisor must initiate the proper changes to the position description. Revisions that are simply narrative in nature can be made by the mutual consent of the employee and supervisor with the approval of the Human Resources Manager. Changes that are more significant require the approval of the ASI Human Resources Committee. Because of this, supervisors are advised to begin their review of Position Descriptions well before the beginning of the new Evaluation Period.

2.2 Performance Plan

Each employee shall have a performance plan established on an annual basis at the beginning of each fiscal year, utilizing the Performance Planning and Appraisal form. The performance plan must specify the results to be accomplished or the standard of performance to be achieved for each major job requirement, as well as any special one-time projects and/or goals. The performance plan shall be based on the employee's approved position description. Performance standards must be derived from the essential duties and responsibilities contained in the position description. A performance plan will be prepared for each employee assigned permanently to a position for 120 days or more.

Performance plans shall normally be completed within 90 days of the beginning of each fiscal year. The performance plan should be updated as needed throughout the performance period and will be the basis for performance appraisal during the evaluation period.

When new supervisors are assigned, they shall review and discuss performance plans with subordinate employees as soon as possible, but no later than 30 days after assignment. Similarly, supervisors shall review and discuss performance plans with new employees within 30 days after the first day of employment.

After the performance plan is completed at the beginning of the cycle, it shall be signed and dated by the employee, the supervisor, and the supervisor's manager. If changes are made on the performance plan during the cycle, the employee, the supervisor, and the manager must initial and date the changes before it is effective. In both of these cases, the supervisor retains the original and the employee must receive a copy.

2.2.1 Performance Standards

A major factor in the success of the entire performance management system is the development of quality performance standards that help facilitate the achievement of ASI's mission and organizational objectives. These performance standards must describe the supervisor's expectations and define acceptable performance of major job requirements described in the ASI-approved job description. The performance standards should be meaningful, challenging, and attainable, and must be within the employee's control. They must be set at a level that is challenging enough to meet the needs of the position and to motivate the employee toward excellence, and reasonable enough to be met by a competent employee.

In the performance plan, the supervisor shall document the performance standard at the "Meets Standard" level for each major job requirement. A performance standard must have one or more indicators for measuring results, such as quality, quantity, timeliness, cost, or manner of performance (how). In order to be as fair as possible to employees and to ensure that performance plans are defensible, supervisors should also be able to describe performance at the "Exceeds Standard" and "Marginal Performance" levels.

The supervisor's manager is responsible for ensuring that expectations for similar jobs across units reporting to them are consistent and equitable. To ensure consistency, management should make an effort to establish standard work plans for employees within the same job classification except for those elements of the job that vary.

Because safety and human resource management play such important roles in a supervisor's job, "Supervisory Responsibilities" shall be included as major performance factors in all supervisors' performance plans.

2.3 Supplemental Performance Dimensions

Additional goals (e.g., special projects, desired training, additional education, etc.), which have been discussed and agreed to by the supervisor and employee, may become part of the performance plan.

3.0 Performance Appraisal Process

Performance appraisal is a continuing process during which supervisors assess the work of individual employees against established performance standards for the major job requirements of

the position. An employee's job performance will be appraised only by comparing actual performance with his or her individual performance plan for the current evaluation period. The employee must have at least 120 days (the minimum rating period) between receipt of the performance plan and the end of the rating period to meet performance standards.

3.1 Performance Review Sessions

Supervisors shall periodically and informally appraise overall performance and keep employees informed of their progress toward meeting their performance standards. Performance review discussions should be held as often as needed to provide supervisors with pertinent information to assess work progress and to help employees improve their performance. Periodic appraisal sessions with employees will ensure timely identification of their strengths and weaknesses and help to avoid unexpected overall ratings at the end of the evaluation period.

Supervisors must use memoranda or notes to document dates of observations, conferences, or assistance provided to employees related to performance. This information shall be maintained in a confidential manner to avoid inappropriate access.

At the time a supervisor identifies performance which suggests that an employee will not meet the performance standards for a major job requirement, and when previous counseling or assistance has not helped, the supervisor will verbally inform the employee of his or her performance deficiencies and document the counseling. Timely counseling sessions should be held to identify corrective actions and to assist the employee to improve performance. If an employee indicates that his or her job performance is affected by a personal problem or is due to alcohol or drug abuse, the supervisor should refer the employee to the Human Resources Office to seek assistance through the Faculty and Staff Assistance Program and/or through other services available in the community. If the employee's performance deficiencies continue despite referrals to assistance programs or other resources, the employee may be subject to disciplinary action up to and including termination.

4.0 Performance Appraisal Responsibilities

4.1 Human Resources Office

The Human Resources Office shall send a notification by the 10th workday of each month to all supervisors regarding the probationary performance appraisals that are due, if any. The notification will give names and due dates. Human Resources will maintain a follow-up system to assure that annual and probationary appraisals are received on time: for annual appraisals, within 90 days after the end of the fiscal year, and for probationary appraisals, within 30 days before the introductory period ends.

If a rating supervisor fails to complete a performance rating when due, the Human Resources Office will conduct a follow-up contact. If the rating continues to be delinquent, Human Resources will escalate the issue to the next higher level of supervision for action. If the rating remains delinquent, Human Resources will notify the Executive Director.

When differences between a rating supervisor and the employee being rated cannot be resolved at the next higher level of supervision, the Human Resources Manager shall be consulted.

The Human Resources Office shall be responsible for ensuring that copies of all annual and probationary appraisals, along with the corresponding Performance Plan are retained in the

respective employee's personnel file. All information maintained by the Human Resources Office shall remain confidential.

4.2 Supervisors' Responsibilities

After the evaluation period ends, the rating supervisor shall complete the Performance Planning and Appraisal form. The supervisor will measure performance over the ENTIRE EVALUATION PERIOD against the employee's performance plan for the same period.

Rating supervisors may solicit feedback from other supervisors and staff members who may have special knowledge of the performance of an employee during the evaluation period. This information will be documented and will be discussed with the employee when the written appraisal is completed.

In those areas where either supervisor or employees rotate through separate shifts so that the supervisory and employee relationship changes throughout the rating period, the person functioning as the supervisor at the time the appraisal is due will become the rating supervisor and will coordinate with the other supervisor(s) involved, requesting information needed to make a fair and objective appraisal. This information will be documented and will be discussed with the employee when the written appraisal is completed.

When preparing performance ratings, the supervisor will assign one of five element ratings and an associated numerical value: "Below Standard = 1," "Marginal Performance = 2," "Meets Standard = 3," "Exceeds Standard = 4", "Exceptional Performance = 5." An employee is entitled to the element rating that most accurately describes his or her performance compared to the performance standard for the element. Supervisors may assign scores that fall between the above values, for instance awarding a 3.5 for someone whose performance falls between "Meets Standards" and "Exceed Standards".

When an employee is rated "Below Standard" for one or more elements, the employee must take action to improve his or her performance, with the supervisor's assistance. Such assistance may include, but is not limited to, formal training, on-the-job training, counseling, and/or closer supervision. An employee, other than one serving a probationary period, whose performance on one or more major job responsibilities is rated "Below Standard" must be given a written warning. The notice shall state that performance must improve to the "Meets Standard" level in order for the employee to remain in the position. The employee must be given a reasonable opportunity to improve.

Performance ratings must be reviewed and approved by the supervisor's manager. The rating supervisor will discuss the proposed performance evaluation with the manager BEFORE discussion with the employee. Mutual agreement among rating supervisors will be sought, but the manager has final authority.

5.0 Appraisal Interview

After approval of the performance appraisal by the supervisor's manager, the performance appraisal and its overall rating should be reviewed and discussed with the employee. Upon completion of the appraisal interview, the employee should sign and date the performance appraisal document. The employee's signature does not necessarily indicate agreement with the overall rating. If an employee refuses to sign and date an overall rating, the supervisor will write, "declined to sign" and enter the date that the employee was notified officially of the overall rating level assigned.

6.0 Overall Rating Levels

One of five overall rating levels, based on the mathematical average of element ratings, will be used to describe the quality of overall job performance. The appropriate overall rating level will be determined utilizing the following scale:

MEAN SCORE	RATING	DEFINITION
4.50+	Exceptional Performance	Employee consistently exceeds performance standards for the position
3.50 – 4.49	Exceeds Standard	Employee meets and often exceeds the performance standards for the position
2.50 – 3.49	Meets Standard	Employee satisfactorily fulfills the basic performance standards for the position.
1.50– 2.49	Marginal Performance	Employee satisfactorily fulfills only some of the performance standards for the position
1.00 – 1.49	Below Standard	Employee does not meet performance standards for most essential duties.

6.1 Disputes

Performance standards, performance ratings, or other aspects of the performance appraisal process are not subject to ASI's Complaint Review Procedure. Employees who feel strongly about differences in the supervisor's rating and their own perception of their performance are encouraged to have follow-up meetings with their supervisor and make every attempt to exhaust all avenues to resolve the differences, including a meeting with the supervisor and the next level supervisor.

7.0 Performance Appraisal Linkage

The Board of Directors shall determine the size of the merit pool based on available funding during the annual budget preparation process. Merit increases and their distribution will be based on an analysis and ranking of overall job performance ratings prepared by the Executive Director and approved by the Human Resources Committee. A minimum job performance rating 3.0 must be met for employees to qualify for a merit pay increase.

Forms

The following are forms to be used in the execution of this policy.

Form Name	Purpose	Responsible Office	Approved By	Timeline for Submission
Performance Planning and Appraisal Form	To document performance standards and subsequently evaluate employee performance against those standards	Human Resources Office	Employee's supervisor and the appropriate Division director In all cases, the Division director's signature must be obtained before conducting the appraisal interview	The section for identifying major job requirements and establishing performance standards must be completed within 90 days of the start of the new fiscal year, or in the case of new employees, within 30 days of the first date of employment. The section for evaluating employee performance against the established standards must be completed within 90 days of the end of the evaluation period.