

PERFORMANCE EVALUATIONS**May 27, 2022****DOCUMENT INFORMATION**

Policy Title:	Performance Evaluations
Department/Manual:	Human Resources
Issue Number:	
Date Issued:	08/27/20
Date Reviewed/Revised:	01/04/21, 05/27/2022
Supersedes:	None
Approved By:	
Final Approval:	Acting Chief Human Resources Officer
Attachments:	None

I. PURPOSE

To establish the process for conducting employee performance evaluations and to guide management in providing frequent performance feedback discussions, coaching, evaluation, and goal setting, relevant to expectations and performance of employees in fulfilling their position responsibilities.

II. SCOPE

This policy applies to University Hospital employees not in a probationary period or an introductory period for confidential employees.

III. POLICY

In the interest of advancing the growth and development of employees, sustaining morale and meeting departmental goals and objectives, all employees shall be kept informed of their progress and any opportunities for improvement in carrying out their position duties and responsibilities.

Supervisors and managers shall be responsible for evaluating the performance of employees on a continuing basis. All employees shall receive a formal performance evaluation at least once a year. To promote more frequent performance discussions throughout the performance year, periodic Performance Check In's (i.e. HR forms) are recommended, but not required. For clinical and ancillary staff, annual competency assessment is a separate process conducted by the units/departments and is not part of the performance appraisal process.

Special evaluations may be used in cases where employees are being considered for promotion or transfer, or at any time during the year when performance has shown marked change. When performance has declined or become less than proficient, evaluations should identify the employee's performance deficiencies and opportunities for improvement and offer guidance for achieving such improvements.

In addition, the evaluation process where an employee is rated below proficient (i.e. below a rating of 3, for employees and 2 for management staff), continued performance which is less than proficient should be addressed through a Performance Improvement Plan (PIP), and other efforts to correct performance deficiencies. Managers/supervisors must address such situations as they arise and not delay counseling. If such efforts are unsuccessful, it will be necessary to proceed with progressive discipline.

IV. PROCEDURE

1. Performance evaluations are conducted annually. Performance Appraisals are due July 1st for all non-union staff, which includes non-union management and confidential employees. CWA supervisors are due on or about November 1. All union frontline employees are due on the anniversary date of hire. Employees shall receive performance evaluations approximately three (3) weeks prior to the employee's review date. Performance.
2. Performance evaluations shall be completed by the immediate supervisor or manager, then reviewed and signed by the department head (or designee), provided that both have had at least ninety (90) days supervisory responsibility for the employee.
 - a) Those having less than ninety (90) days of such experience shall refer the evaluation to the next higher level of supervision for completion.
 - b) Employees who are scheduled for a performance evaluation and are in a new department for less than ninety (90) days due to a recent transfer shall be evaluated by the employee's former department.
 - c) Supervisors having more than ninety (90) days, but less than 180 days' responsibility for supervising the employee shall discuss the employee's total performance during the year with the employee's former supervisor, if available. The current supervisor shall request a brief, written assessment of the employee's performance that should be appended to the evaluation.
3. Once the supervisor and next level of management signs the form, the performance evaluations shall be discussed privately with the employee, who shall be given the opportunity to raise questions. An employee who disagrees with the evaluation shall be allowed to submit comments which shall become part of the evaluation.
4. The employee shall acknowledge receipt of the evaluation, and that it was discussed by signing same. If the employee refuses to sign the evaluation, this should be noted on the evaluation form, and witnessed and dated by another supervisor or manager.
5. The evaluation form shall be placed in the employee's Human Resources Personnel file and will become a permanent record to which access will be limited to persons having a direct and justifiable interest. Generally, the employee, Human Resources staff, the employee's immediate supervisor/department head, and prospective supervisor/department head have "need to know" access. Others wishing to review the evaluations shall make such requests to the assigned Human Resources Generalist who will consult with the Human Resources management, where a determination will be made as to granting access

6. Performance evaluation ratings are not grievable. However, if a salary increase was delayed or denied due to the rating, the delay or denial can be grieved if the employee asserts that:
 - a) during the evaluation year, no prior counseling or discipline was provided, that performance was deficient, and
 - b) any salary increase (if applicable) might be delayed or denied

Such grievances shall be filed in accordance with relevant collective negotiations agreements.

7. Employees receiving a rating of either:

- 5 (employee has made significant contributions to advance the position of the department and/or Hospital toward excellence and prominence);
- 4 (employee has been instrumental to the department's success and has performed in an exemplary manner); or
- 3 (employee is proficient; performance is what is expected of a fully qualified and experienced person), and

Management Staff and employees covered by HPAE 5089, HPAE 5094, IUOE Local 68 and IAEP Local 200 receiving a rating of either:

- 3 (consistently exceeds standard); or
- 2 (generally meets and occasionally exceed standard)

shall be eligible to participate in Hospital-defined or collectively negotiated salary increase programs, subject to the terms of those programs. Performance evaluations shall continue to be completed for employees who have reached the maximum salary in their range.

NOTE: Prior to evaluating an employee, if his/her performance is deficient, the supervisor must notify such employee that a salary increase may be delayed or denied (in any fiscal year in which salary increases are given). Such notification shall be made through a written memorandum, documented oral counseling, and/or written warning regarding performance issues in a timely manner after such deficiencies are observed.

8. Employees receiving a overall rating of **2** (employee occasionally fails to exhibit proficiency; improvement is necessary to meet the expectations for acceptable performance) or management staff and employees covered by HPAE 5089, HPAE 5094, IUOE Local 68 and IAEP Local 200 receiving an overall rating of a **1** (does not meets standard; improvement is needed), shall not be entitled to receive a salary increase, if applicable – other than an across-the-board salary increase.
 - a) The supervisor/manager shall review the performance deficiencies with employee and shall counsel employee as to the appropriate steps which should be taken to improve performance. A Performance Improvement Plan (PIP) should be developed to guide and support the employee on ways to meet job expectations.

- b) The supervisor/manager shall review with employee any warnings or prior counseling received with respect to performance. The employee's performance must be re-evaluated after another ninety (90) day period.
 - c) If the performance is re-evaluated at a level of satisfactory for employees (3) and (2) for management staff and employees covered by HPAE 5089, HPAE 5094, IUOE Local 68 and IAEP Local 200 or better, then the employee shall receive a salary increase as of the due date of the re-evaluation. If upon re-evaluation the performance has not come up to at least a proficient (3) level for employees and a (2) for management staff, the employee is to be advised that a salary increase is being denied for the balance of the year and the re-evaluation shall be considered to be a final warning (equivalent to a suspension) for the purposes of the disciplinary process.
 - d) If performance remains below the proficient (3) for employees and (2) for management staff and employees covered by HPAE 5089, HPAE 5094, IUOE Local 68 and IAEP Local 200, such employee shall be terminated.
 - e) Conducts an evaluation conference with the employee during which the basis for the evaluation is explained. The employee must be given the opportunity to provide comments, as well as the opportunity to submit additional information to be added to the evaluation.
 - f) Secures the employee's signature on the evaluation form indicating the evaluation was reviewed and discussed. The employee should indicate whether he/she agrees with the evaluation. If employee refuses to sign the evaluation, this should be indicated on the evaluation and witnessed and dated by another supervisor.
9. Depending on the reasons for an unsatisfactory rating, management is expected to make efforts to coach and support performance improvement through a Performance Improvement Plan (PIP) and other similar activities. If such efforts are unsuccessful, it will be necessary for management to proceed with progressive discipline to address performance deficiencies.
10. Manager/Department Head:
- a) Reviews the evaluation with the immediate supervisor for the purpose of ensuring that it is consistent and objective.
 - b) Consults with the immediate supervisor on suggested changes to the evaluation before the evaluation conference with the employee.
 - c) Ensures that the evaluation is prepared and the evaluation conference occurs prior to the employee's review date.

11. Employee:

- a) Provides input and seeks clarification if parts of the evaluation are not clear; expresses any difference of opinion; requests additional interpretation; or, submits a rebuttal if in disagreement with the evaluation.
- b) Checks appropriate box indicating agreement or disagreement with the evaluation.
- c) Receives and signs the evaluation form as evidence that they have seen it and have had a chance to question and discuss the evaluation.

V. RESPONSIBILITIES

The Chief Human Resources Officer shall ensure compliance with this policy.

VI. REFERENCES

Human Resources Policy Manual and MCN

- | | |
|---|----------------|
| a) Probationary Period | 30-01-20-30:00 |
| b) Introductory Period for Confidential Employees | 30-01-20-30:10 |
| c) Competency Assessment | 831-200-478 |