

# **SUL ROSS STATE UNIVERSITY**

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## **SRSU Policy: Performance Planning and Appraisal Policy**

**SRSU Policy ID: APM 5.13**

**Policy Reviewed by: Director of Human Resources**

**Approval Authority: Vice President for Finance and Operations**

**Approval Date: July 01, 2016**

**Next Review Date: July 01, 2021**

### **A. PURPOSE**

The purpose of this Sul Ross State University Performance Planning and Appraisal Policy is to establish staff performance management, evaluation and training processes. The emphasis of the policy is on proactive planning and does not alter or affect the University's authority to function as an "at will employer".

The Performance Planning and Appraisal process will encourage effective job performance and stimulate the professional growth of employees by fostering communication between supervisors and employees. Two-way communication is essential in the development of all employees. This enables them to identify departmental goals related to the institutional mission as well as individual goals and objectives and identify monitoring processes for the achievement of these goals and objectives. The Performance Planning and Appraisal process should promote employee satisfaction, increased morale, staff retention, increased efficiency, information flow, team work and team spirit throughout the workforce. This will greatly increase service to our students.

The conscientious use of this system should help supervisors to manage more effectively and should help all employees understand expectations. It is also designed to promote a positive, supportive, and growth-oriented work environment.

The Performance Planning and Appraisal process should assist supervisors and staff in achieving institutional and individual success by providing:

1. A better understanding of job responsibilities by staff and supervisors;
2. Opportunities for improved employee performance;
3. Opportunities for improved institutional performance; and

# SUL ROSS STATE UNIVERSITY

*A Member of the Texas State University System*

4. Identification of training and developmental needs and written plans to meet those needs.

Setting clear performance goals and providing regular, specific feedback is a proven way to achieve increased levels of productivity and performance.

## B. MERIT PAY GUIDELINES CLASSIFIED AND UNCLASSIFIED EMPLOYEES

A merit pay increase is defined as an increase in salary granted to an employee in recognition of supported/documented meritorious performance over a sustained period of time. Merit pay increases are meant to reward an employee's performance while doing the same job and should not be confused with promotions reclassifications. A merit pay increase is in addition to any across-the-board salary increases or reclassifications. Please refer to the Merit Pay Guidelines Classified and Unclassified employees in the University Pay Plan.

## C. POLICY/PROCEDURE

Supervisory staff will be appraised on the Supervisors Performance Planning and Appraisal form. Staff employees can be appraised on the Supervisors Performance Planning and Appraisal or the Non-Supervisory Performance Planning and Appraisal forms at the discretion of the supervisors.

1. Each supervisor/administrator is expected to communicate concise job descriptions, job standards and other work criteria to employees and to provide each employee with feedback regarding work performance. At the time of hiring, the employee and supervisor should review the job description and establish responsibilities, goals, and objectives to provide the ground work for the first Performance Appraisal (refers to Part IV of the Supervisor's Performance Planning and Appraisal form titled Appraisal of Responsibilities, Goals and Objectives and Part I of the Non-supervisor's Performance Planning and Appraisal form based on the employee's job description). Responsibilities for the employee should be obtained from the job description. Effective goals and objectives should be:
  - a. Specific and measurable;
  - b. Realistic and attainable;
  - c. Consistent with the University's overall objectives and policies;
  - d. Flexible and responsive to change;

# SUL ROSS STATE UNIVERSITY

*A Member of the Texas State University System*

- e. Jointly developed through discussions between the supervisor(s) and the employee;
  - f. Accomplishable during a time period mutually agreed upon;
  - g. Reviewed periodically as work progresses;
  - h. Acknowledged in writing by both the employee and supervisor.
2. Human Resources will provide initial and ongoing training, Performance Planning and Appraisal Forms, recommended Employee Activity Report forms, and trained personnel to assist in the fulfillment of the Performance Planning and Appraisal process.
3. It is recommended that the Employee Activity Report (sample form attached) or other similar records be maintained throughout the year on each employee documenting positive and negative performance activities as they occur. Good documentation and performance counseling are an integral part of the Performance Planning and Appraisal Process. The supervisor should discuss each activity with the employee at the time of occurrence and obtain feedback from the employee. Effective use of Employee Activity Reports or other similar records should result in no surprises to the employee at the time of their performance review.
4. All employee performance reviews will be completed:
- a. Annually in February; or
  - b. Within the first six months of employment; or
  - c. Three months after the employee receives a marginal rating on overall performance.

Human Resources will send out annual reminders to the supervisors in preparation for annual performance appraisals. Human Resources will monitor employees who require appraisals other than on an annual basis and notify the supervisor of the need to perform the appraisal.

5. Performance Appraisals should be scheduled with the employee at least two weeks in advance to allow the employee time to review the Performance Planning and Appraisal form and review established responsibilities, goals and objectives (refer to Part IV of the Performance Planning and Appraisal form titled Appraisal of Responsibilities, Goals and Objectives and Part I of the Non-supervisor's Performance Planning and Appraisal form based on the employee's job description). The notification will also allow the employee time to perform the individual assessment section of the Performance Planning and Appraisal form

# SUL ROSS STATE UNIVERSITY

*A Member of the Texas State University System*

(Parts I and III for staff and Parts I, II, and III, for supervisors of the Supervisor's form and Part I of the Non-Supervisor's form) and encourage their input during the performance interview. The supervisor may provide the Pre-Performance Evaluation Worksheet (form attached) to the employee in advance of the interview to promote further discussion (use of this form is optional).

6. Independently from the employee, the supervisor should carefully prepare each Performance Planning and Appraisal form with emphasis on addressing accomplishments and performance. Preparation by the supervisor will be key to the success of the appraisal.
7. The Performance interview should be scheduled at a time that interruptions will not take place and the supervisor can give undivided attention to the individual employee. Supervisors should allow the employee to present self assessment with a two-way discussion following.

The supervisor will present assessment referring to employee activity report, job descriptions, established responsibilities, goals, and objectives or other records. The supervisor and the employee will discuss training needs related to performance development goals. On the job formal training, in class training, and self study training should be discussed to assist in achieving the goals. The supervisor will discuss with the employee what role the employee expects the supervisor to play in attaining their goals.

8. The supervisor and employee will discuss future goals and objectives and write them down as applicable for the next scheduled Performance Appraisal following the policy procedures provided in section 5.14 B 1. (a) through (h) for supervisory employees.
9. In the course of the Performance Appraisal, if additional significant items come up which are not recorded elsewhere in the Performance Appraisal Form, these items should be recorded in the Appraiser's Summary section.
10. The supervisor will assign an overall rating for the employee in Part VIII of the Supervisory form and Part IV of the Non-supervisory form. A positive rating does not guarantee continued employment.

# SUL ROSS STATE UNIVERSITY

*A Member of the Texas State University System*

11. The employee is to be given an opportunity to submit written comments in Part IX of the Supervisory form and Part III of the Non-supervisory form concerning the Performance Appraisal interview, either in agreement or disagreement. The employee should be advised that they are required to sign the form, but that their signature does not imply agreement with the Performance Appraisal, only that the review has taken place.
12. After completing the Performance Appraisal, the supervisor is to sign the form and send it to the next level supervisor, the Department Head and the Divisional Vice President for signatures. The performance appraisal is to be completed and all signatures obtained by the end of February. A signed copy of the appraisal is to be given to the employee, another copy placed in the employee's departmental personnel file and a copy sent to Human Resources to be reviewed and placed in the employee's personnel file.
13. Performance files will be confidential to the extent permitted by law. Upon written request to Human Resources, access to performance files will be available to the employee, the supervisor, and others who have in line authority over the employee.
14. Suggested changes to the job description that are needed after the Performance Appraisal should be submitted to Human Resources with the completed Performance Planning and Appraisal forms. All Performance Appraisal forms should have current job descriptions attached.

## D. SUPERVISORS PERFORMANCE PLANNING AND APPRAISAL FORM COMPLETION INSTRUCTIONS

### **Part I-Staff Review**

Part I-Staff Review should be completed for all employees. The employee will be given an opportunity to review the responsibilities, goals, and objectives that have been established. The employee will complete Part I, independently from the supervisor, by assessing each behavioral frequency applicable to the employee indicating if the behavior seldom, sometimes, frequently, or consistently is displayed by the employee.

Seldom      -Behavioral standard occurs at irregular intervals and fails to meet

# SUL ROSS STATE UNIVERSITY

*A Member of the Texas State University System*

- performance standards.
- Sometimes -Behavioral standard occurs infrequently and does not meet performance standards consistently.
- Frequently -Behavioral standard occurs regularly and meets performance standards.
- Consistently -Behavioral standard occurs routinely and exceeds performance standards.

Examples of desirable behaviors are provided for each category. Some examples may not apply to all employees. Base rating on examples in each category that do apply to the employee.

The supervisor will complete Part I, independent from the employee, by assessing each behavioral frequency that applies to the employee indicating if the behavior seldom, sometimes, frequently, or consistently is displayed by the employee referring to the Employee's Activity reports or other records, following the definitions listed above. The Analysis section will include statements that validate the behavior rating by referring to specific situations and specific results the behavior caused.

## **Part II-Supervisory Review**

Part II-Supervisory Review should be completed only for employees with supervisory duties following the same guidelines as Part I-Staff Reviews.

## **Part III-Development/Training Needs/Plans**

Part III-Development/Training Needs/Plans section should be completed for all employees. The employee and supervisor should discuss and agree upon a plan of action to develop the employee in weak areas and further enhance strong areas of skills and abilities.

## **Part IV-Appraisal of Responsibilities, Goals and Objectives**

Part IV-Appraisal of Responsibilities, Goals and Objectives should be completed for administrative, professional or supervisory employees. This section is optional for staff employees. At the time of hiring, the employee and supervisor should review the job description and establish responsibilities, goals, and objectives to provide the ground work for the first Performance Appraisal. Responsibilities for the employee should be obtained from the job description. Please refer to 5.14 B 1. (a) through (h) of the Performance Planning and

# **SUL ROSS STATE UNIVERSITY**

*A Member of the Texas State University System*

Appraisal Policy for policy procedures to set effective goals and objectives. The results of the objectives and goal setting will be documented in the Results area of Part IV. A summary of the supervisor's appraisal of the goals and objectives should be documented in the Appraisal section of Part IV.

## **Part V-Major Achievements/Contributions**

Part V-Major Achievements/Contributions sections should be completed for administrative, professional or supervisory employees. This section is optional for staff employees. The supervisor will list the employee's three major achievements during the appraisal period. Consider the action the employee took to improve the University.

## **Part VI-Future Responsibilities, Goals, and Objectives**

Part VI-Future Responsibilities, Goals, and Objectives section should be completed for administrative, professional or supervisory employees. This section is optional for staff employees. The supervisor and employee will establish future responsibilities, goals, and objectives for the next Appraisal Process. Please refer to 5.14 B 1. (a) through (h) of the Performance Planning and Appraisal Policy for policy procedures to set effective goals and objectives.

## **Part VII-Appraiser's Summary**

Part VII-Appraisers Summary section should be completed for all employees. The Appraiser's Summary should reflect briefly the contents of Sections I through V.

## **Part VIII-Overall Performance Appraisal**

Part VIII-Overall Performance Appraisal section should be completed for all employees. The supervisor's overall appraisal of performance will be indicated by circling marginal, fair, good, superior, or distinguished.

- Marginal -Fails to meet performance standards.
- Fair -Does not meet performance standards consistently.
- Good -Meets performance standards.
- Superior -Exceeds performance standards.
- Distinguished-Significantly exceeds performance standards.

**SUL ROSS STATE UNIVERSITY**  
*A Member of the Texas State University System*

**Part IX-Employee's Comments**

Part IX-Employee's Comments section is optional for all employees. The employee has the opportunity to respond to the appraisal process in Section IX.

The Appraiser, Employee, Appraiser's next level supervisor, the Department Head, and the Divisional Vice President should sign and date the Appraisal Form.

Suggested changes to the job description after the Performance Appraisal should be submitted to Human Resources with the completed Performance Planning and Appraisal forms.

**E. NON-SUPERVISOR PERFORMANCE PLANNING AND APPRAISAL FORM COMPLETION INSTRUCTIONS**

Please refer to the Non-supervisor Performance Planning and Appraisal form for completion instructions.

Sul Ross State University Performance Planning and Appraisal form:

**F. EQUAL EMPLOYMENT OPPORTUNITY COMPLIANCE**

Performance appraisals will be based only on lawful, job related and non-discriminatory criteria. The divisional Vice Presidents and Human Resources will review performance appraisals to ensure compliance with Equal Employment Opportunity laws and University Policies.