



TEXAS SOUTHERN UNIVERSITY
MANUAL OF ADMINISTRATIVE POLICIES AND PROCEDURES

SECTION: Human Resources
AREA: Employee Relations

Number 02.02.04

SUBJECT: Staff Performance Appraisals
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I. PURPOSE AND SCOPE

This document sets forth uniform guidelines for evaluating the performance of regular Texas Southern University staff employees. This document is prepared in compliance with applicable state and federal laws. They apply to all regular staff employees, as defined in Section III below.

II. POLICY STATEMENT

- A. Texas Southern University recognizes the value of its employees and understands that the quality of university services depends upon the employees. It is the university's policy to maintain a regular and meaningful staff employee performance appraisal system/process. The primary goal of the appraisal is to encourage on-going, objective communication between the employee and supervisor focused directly on university and departmental objectives and on the employee's duties and performance. The secondary objective is the continued improvement of every employee's job performance.
- B. All regular staff employees shall receive ongoing and consistent feedback on their job performance, department objectives and goal progression (both individual and department goals) from their immediate supervisor.
- C. All regular staff employees of Texas Southern University who have completed their probationary period shall receive a formal performance appraisal at least once a year. Performance appraisals shall include: (1) a documented appraisal of the employee's performance by the immediate supervisor and (2) a personal meeting between the employee and the supervisor to discuss the appraisal.
- D. Performance appraisals shall be scheduled, conducted, and documented according to the provisions of this document. Performance appraisals shall be confidential. Online performance appraisal training is available to supervisors.

III. DEFINITIONS

- A. Department Head: The head of each college or division (i.e. Dean or VP).
- B. Immediate supervisor: The individual who directly supervises the employee's day-to-day work activities and who is responsible for assigning and evaluating the employee's work.
- C. Formal Performance appraisal: A formal performance evaluation by the immediate supervisor, of the employee's performance during a period of time. The appraisal must be completed using the university's online performance management system (unless a special accommodation has been made).
- D. Informal Performance Feedback: Ongoing communication between an employee and his/her immediate supervisor to discuss department goals and objectives, as well as the employee's specific contributions and areas for needed improvement.
- E. Performance probation: A probationary period for employees who are rated in the lowest performance category.
- F. Probationary employee: A probationary employee is a regular non-exempt staff employee with less than six months of continuous employment or re-employment following a break in service for any reason other than a recall to work after an approved reduction in force, or a regular exempt staff employee with less than 12 months of continuous employment or re-employment following a break in service for any reason other than a recall to work after an approved reduction in force.
- G. Regular staff employee: A university employee who is appointed for at least 20 hours per week on a regular basis for a period of at least four and one-half months, excluding students employed in positions for which student status is required as a condition of employment and those employees holding teaching and/or research positions classified as faculty.
- H. Reviewing official/ Approver: The individual responsible for reviewing the validity and integrity of the immediate supervisor's evaluation of the employee's work performance. The reviewing official may be the next higher official over the employee's supervisor or may be a departmental or college/division administrator. Each college and division establishes the internal review process for its staff.

IV. PURPOSE AND OBJECTIVES OF PERFORMANCE APPRAISALS

- A. Performance appraisals provide a means of informing employees of the quality of their work and identifying areas of performance that may need improvement. Performance appraisals are to be used as a positive, constructive tool to measure

an employee's performance. Performance appraisals help supervisors make the most effective use of their personnel resources and provide valuable feedback to employees concerning their job performance and the expectations of their supervisors.

Additionally, performance appraisals are a valuable management tool to assist in making personnel decisions related to promotions, reclassifications, merit increases, training needs, career development, and so forth.

Merit salary adjustments will not be approved unless a current performance appraisal indicating meritorious performance has been conducted and is on file in Human Resources.

B. Objectives of the appraisal process include:

1. To provide clearly defined performance standards based upon the employee's current job description to ensure that employees know what is expected of them.
2. To discuss the past year's performance and set new goals and objectives for the upcoming year.
3. To facilitate a formal face-to-face discussion between supervisors and employees where both parties have an opportunity to give feedback.
4. To express appreciation for outstanding contributions and performance; conversely, to discuss performance areas where improvement is possible or needed and to outline plans for improving performance.
5. To have a documented record of performance
6. To effectively measure performance and track progress.

V. INFORMAL PERFORMANCE FEEDBACK

- A. All managers and supervisors shall give performance feedback to their employees on a consistent basis. These discussions should include:
- i) Discussion about department goals and objectives
 - ii) Feedback to employees on areas where they have excelled and/or need further improvement
 - iii) Feedback from employees to their supervisors on areas where they need additional support and/or assistance
 - iv) Status updates on employee goals

- B. Informal performance feedback is not documented for the employee's permanent record; however supervisors should make a note of performance discussions throughout the year so they can be used as a point of reference for the formal performance appraisal.

VI. REQUIRED ELEMENTS OF THE FORMAL PERFORMANCE APPRAISAL

- A. Completed performance appraisal: All performance appraisals for regular staff employees must be done online using the University's online performance management system. In situations where a special accommodation needs to be made, Supervisors will need to contact Human Resources for a paper version of the online evaluation form. Bullseye Performance Management website can be accessed directly at (<https://my.bepms.com/>) a link to the website is also on the Human Resources webpage. Manager documented comments must include comments to substantiate the assigned rating.
- B. Face-to-face meeting between the employee and supervisor to discuss the performance appraisal.
- D. Employee Feedback: Performance appraisals are not grievable in accordance with MAPP 02.05.01, Employee Complaint and Grievances Policy. However, if the employee disagrees with his/her performance appraisal, the employee has 3 days from when the evaluation is electronically submitted by their supervisor to log in to the performance management website and submit feedback.

VII. RESPONSIBILITY AND MONITORING

- A. The Department of Human Resources is responsible for the administration of the university's performance appraisal system. The Department of Human Resources will communicate any changes to policy, procedure or forms related to performance appraisal immediately to colleges and divisions.
- B. All supervisors and managers will work with Human Resources to communicate the importance of the performance appraisal process, in distributing all required performance appraisal materials, and in ensuring that performance appraisals are completed in a timely manner.
- C. The immediate supervisor is responsible for conducting performance appraisals for all immediate subordinates in a timely manner. This responsibility includes not only completing the appraisal form online and conducting the actual performance appraisal with the employee, but also ensuring that job descriptions are up-to-date, accurate, and available to the employee. If an employee's job duties and responsibilities change, the immediate supervisor shall notify the department manager so that the job description may be revised and submitted to

Human Resources for inclusion in the employee's personnel file and Bullseye online profile. Whenever a job description is revised, a copy should be given to the employee.

- D. In Those cases where the employee has more than one supervisor, the supervisor who reviews most of the employee's work will usually complete the appraisal. When that appraisal is conducted, the immediate supervisor will seek written input from all other supervisors to coordinate a comprehensive review of the employee's work.
- E. Department heads are responsible for ensuring that all supervisors conduct performance appraisals on all regular staff employees in their respective departments in a timely manner. They are also responsible for approval or rejection of completed online performance appraisals. Department heads may choose to delegate approval rights to supervisors when appropriate.

VIII. SCHEDULE FOR FORMAL PERFORMANCE APPRAISALS

An effective performance appraisal process requires on-going communication between employee and supervisor to ensure that the employee has a clear understanding of the supervisor's expectations and continuous feedback about his or her job performance. There is a need, however, to periodically conduct formal performance appraisals as described below.

- A. Initial performance appraisal: Regular staff employees may receive a performance appraisal one month prior to completion of their probationary period. This appraisal not only will allow the supervisor the opportunity to discuss the employee's performance in the new job, it will also allow supervisor and subordinate to jointly establish future action plans and discuss employee development.
- B. Transfer or promotion to new positions: Regular staff employees who have completed the initial probationary period and are transferred or promoted to a new position may receive a performance appraisal during the sixth month in the new position. Two-way communication between supervisor and subordinate should take place regarding the employee's new job duties and responsibilities, performance level and future action plans.
- C. Annual performance appraisals: All regular staff employees shall receive performance appraisals during the last quarter of each fiscal year. However, if an employee has received a performance appraisal during the preceding six months, that appraisal will serve as the annual performance appraisal. Thereafter, the employee's appraisal will occur during the scheduled annual appraisal period. All

performance appraisals are to be completed and approved within the online performance management system by September 30th of each year.

- D. Performance probation appraisal: Regular staff employees who are placed on probation as a result of a low performance appraisal (see Section XI) must receive a new performance appraisal at the end of the probationary period.
- E. Unscheduled performance appraisals: Unscheduled performance appraisals may be conducted at any time, if deemed necessary by college or division management and with prior review of the situation and circumstances by Human Resources.

IX. THE FORMAL PERFORMANCE APPRAISAL PROCESS

- A. All regular staff employees shall be evaluated using the online Performance Management System. Once an employee's evaluation has been written by the immediate supervisor and approved by the reviewing official, employees will be able to log in to the performance management website and print and/ or view a copy of their performance evaluation.
- B. In cases where a special accommodation needs to be made, the Department of Human Resources will provide the supervisor with a paper copy of the evaluation form. Human Resources will also provide instructions for completing the form and for conducting the performance appraisal meeting. Additionally, Human Resources will provide training and reference materials and/ or trainings regarding performance appraisals, as necessary.

Human Resources will notify staff employees of the need for annual performance appraisals prior to the last quarter of the fiscal year.

- C. Department Heads and VPs are responsible for ensuring that all regular staff employees in their college or division are evaluated in accordance with this document. Department heads and VPs are also responsible for communicating the importance of the performance appraisal process to the managers and supervisors in their division.
- D. Human Resources will monitor the process to ensure that all required evaluations are completed. Human Resources representatives will contact Department Heads and VPs when it is noted that staff performance evaluations have not been completed; and the responsible supervisor/ manager may face disciplinary actions.

X. CONDUCTING THE PERFORMANCE APPRAISAL

- A. The immediate supervisor is responsible for formally evaluating the performance of subordinates using the University's online performance management system (Bullseye)

- B. The Department Head must also review and discuss the appraisal with the reviewing official. When appropriate, the Department Head may choose to make the reviewing official an approver. In those cases the Department Head will not need to review the performance appraisal once it has been completed by the reviewing official.
- C. The immediate supervisor will facilitate a performance evaluation meeting with the employee to discuss his/her performance appraisal. The evaluation meeting shall be scheduled in advance and with only the supervisor and the employee in attendance.
- D. After the performance evaluation meeting has been conducted, the employee shall be provided a printed copy of the appraisal. Employees will also be able to access their evaluations prior to the appraisal meeting by logging in to their Bullseye Performance Management homepage.
 - i. In situations where a special accommodation has been made and no electronic performance evaluation has been done for an employee. The immediate supervisor must ensure that the paper document has been signed by the supervisor and the approver. The employee must also sign the document to acknowledge that he/ she read the appraisal; it does not indicate agreement with the appraisal itself.

If the employee refuses to sign the appraisal, the supervisor conducting the evaluation shall so indicate by noting, “employee refused to sign” and by initialing the refusal date.
 - ii. Completed paper appraisals shall be forwarded to Human Resources to be uploaded on the employee’s online performance management profile. The originating department should maintain a copy for their records.

XI. PERFORMANCE PROBATION

- A. Regular staff employees who are rated in the lowest performance-rating category shall be placed on performance probation for a period of 90 calendar days. With prior review of Human Resources, the probationary period may be extended for not more than ninety (90) calendar days. The probationary period is not a guarantee of continued employment with the university.
- B. Employees shall be given written notice of performance probation, citing the specific dates covered, along with a copy of the completed performance appraisal form and a written performance improvement plan. The purpose of a performance improvement plan is to ensure that the employee is fully aware of performance deficiencies that exist and to provide the employee with reasonable direction with which to improve such deficiencies. The performance improvement plan should include, but is not limited to, a detailed listing of performance expectations and a defined time frame in which these improvements will occur.

- C. A copy of the written notice of performance probation must be provided to the Associate VP of Human Resources for inclusion in the employee's official personnel file.
- D. During the performance probation period, the employee's supervisor must conduct periodic meetings with the employee to review and, if necessary, revise the performance improvement plan.
- E. A new performance appraisal must be completed by the employee's supervisor at the end of the probationary period and discussed with the employee. If the employee's performance has improved to a satisfactory level, the employee will be notified in writing that the performance probation period has been successfully completed.
- F. If the employee's performance continues to be rated in the lowest category, or if the specific insufficiency that caused the performance probation has not improved, the employee may be terminated from the university. Decisions to dismiss an employee must be reviewed by the Department of Human Resources and the Office of General Counsel prior to taking any action.
- G. If an employee is terminated as a result of performance probation, the employee may appeal the termination in accordance with MAPP 02.05.03, Discipline and Termination Policy.

XII. EMPLOYEE FEEDBACK

- A. Employees are encouraged to submit feedback to their performance evaluation. Employees also have an opportunity to record whether they agree or disagree with their evaluation, and submit comments. Employee feedback must be submitted online using the performance management system within three (3) days of the standard evaluation being submitted.
- B. Employees completing a paper-format evaluation will need to submit their feedback in writing to their supervisor within three (3) days of being given a copy of the document.
- C. Employee agreement is not required for an appraisal to be considered part of the employee's permanent record.

XIII. REVIEW AND RESPONSIBILITY

Responsible Party: Associate Vice President of Human Resources/ CHRO

Review: Every three years, on or before September 1

XIII. APPROVAL

Edward C. Ness

Vice President for Administration and Finance

John M. Rudley

President

Effective Date March 2016