

3.2 PERFORMANCE REVIEW FOR UNIVERSITY STAFF.

(Enacted 6/22/92; amended 1/02; 6/05; 8/05)

a. Purpose: To establish a method for providing each University employee with expectations for performance and periodic evaluation of performance; to facilitate direct communication between supervisors and employees on performance expectations, ~~and~~ achievements, and goal-setting; to recognize the accomplishments and define the educational needs of employees; ~~and to provide for a reliable method of acquiring feedback on departmental operations.~~ to review the job description duties and assure the necessary resources are available to effectively perform the job duties; to identify potential career growth opportunities or expanded roles within departmental operations; and to serve as one criteria for determining salary increases ~~(for non-bargaining professional and scientific employees)~~ in accordance with collegiate and departmental salary policy.

b. Philosophy: ~~Performance management is an important component of the supervisor/staff member relationship. It facilitates the growth and development of individuals and achievement of institutional goals.~~ The performance review system facilitates the growth and development of employees and achievement of institutional goals. It is a continuous process with shared responsibility that begins during ~~the initial hiring process~~ orientation and continues throughout the year employment. ~~The actual performance review is a formal opportunity to review the progress made during the year and set goals.~~ **The actual performance review is a formal opportunity to review the progress made during the year and set goals.** -This process ~~is in alignment with~~ should address the University's five-seven core values: ~~Learning, Community, Responsibility, Integrity, and Quality Excellence, Learning, Community, Diversity, Integrity, Respect, and Responsibility.~~ ~~A fundamental principle of the process is the expectation of behavioral change or enhancement related to specific goals.~~ **All University staff members should be aware of the expectations of their position as well as how they will be evaluated. A fundamental principle of the process is to assure appropriate performance, encourage continuous developmental growth and motivate behavioral change where expectations are not being met.** It should stimulate both oral and written two-way communication, including opportunity for self-appraisal.

(1) Evaluations will be based on observable and when appropriate, measurable outcomes.

Reviews should occur no less than annually.

(2) The Performance Review System will serve to aid managers in decision-making with respect to (but not limited to)

- (a) achievement of organizational goals and individual goal-setting
- (b) performance improvement
- (c) training & counseling
- (d) compensation
- (e) promotion, transfer, and reclassification
- (f) nomination for University and departmental awards
- (g) probationary period
- (h) disciplinary action

(3) All University employees should be aware of the expectations of

his or her position as well as how they will be evaluated.
(See <http://www.uiowa.edu/learn/perfmgt/index.html>)

- (4) The Performance Review System will serve to aid employees in the following ways:
- (a) mechanism to express opinion about his/her performance
 - (b) opportunity to list accomplishments for evaluation period
 - (c) coaching
 - (d) provide clear understanding of management's goals for the following year
 - (e) request for training, or referral to, learning and development opportunities to enhance skills or develop new skills
 - (f) discussion regarding career goals, including referrals to University programs that support staff to achieve career goals
 - (g) opportunity to provide feedback on process improvement
- (5) Performance appraisal training, with opportunities for providing both qualitative and quantitative feedback will be available through Learning & Development and Hospital Human Resources.

(See www.uiowa.edu/hr/perfmgt/index.html.)

c. Policy. Each administrative unit within the University shall demonstrate ~~that it has in place a formal~~ utilization of a performance management system consistent with the philosophy statement above. ~~The program shall incorporate the following key components:~~

Deans and Vice Presidents will be responsible for ensuring that each administrative unit for which they are responsible meets the requirements of this policy, ~~and shall report annually to~~ The Associate Vice President for Human Resources will run annual compliance completion reports for each ~~on the operation of the policy in the~~ college or division. Reporting occurs utilizing HR web applications (www.uiowa.edu/hr/webinfo.html). Further, compliance reporting will be considered a part of the evaluation process for every dean, executive officer, manager or supervisor.

Each unit, department, division, -or college will be responsible for providing support to supervisors in ~~for development of a system for~~ the evaluation of employees in accordance with University, collegiate, division, and departmental ~~and collegiate~~ guidelines and identifying what latitude there is for creating their own best practices. ~~-It is the responsibility of each supervisor to be consistent in the performance review practices with all employees they supervisor supervise. All -performance management systems shall be consistent with the philosophy, principles, and characteristics outlined in the University Policy on Performance Appraisal. understand his or her departmental/collegiate performance appraisal practices and what latitude there may be for creating their own best practices.-~~ Tools are available at the performance management website (<http://www.uiowa.edu/learn/perfmgt/index.html>).

~~Each supervisor should be consistent in the performance review practices with all employees they supervise. Furthermore, the performance management system shall be consistent with the philosophy, principles, and characteristics outlined in the~~ University Policy on Performance Appraisal.

d. Procedure. ~~Each supervisor shall be responsible for development of a system for the evaluation of staff. The performance management system shall be consistent with the philosophy, principles, and characteristics outlined in the University Policy on Performance Appraisal.~~ The following steps are a guideline for the performance management process.

(1) The supervisor communicates clear expectations ~~(with measurable outcomes)~~ to the employee. This ~~may be~~ occurs at the beginning of an employee's employment ~~or may occur any time new expectations are made.~~ and throughout the year. Job descriptions should be regularly updated and reviewed in concert with the evaluation process.

(2) The supervisor collects supportive documentation (both quantitative and qualitative) that provides information about the employee's performance. All Professional and Scientific employees are also held accountable to meeting ~~the~~ four position expectations:

- (a) Civil and respectful communication,
- (b) Diversity and inclusion,
- (c) Leadership accountability, and
- (d) Learning and professional development.

(3) The supervisor provides feedback to employees on an ongoing basis regarding their performance. This would include both strengths and areas ~~to improve~~ for improvement. Feedback is a crucial part of building the relationship between supervisor and employee and also provides the opportunity for questions and clarification.

(4) The supervisor sets the stage for an annual performance review by communicating to the employee about which performance review form will be used and how the review will be conducted. ~~All~~ Supervisors should utilize a review process that is fair, confidential, and consistent within a defined working group. ~~All professional and scientific staff members also must be reviewed on the four position expectations listed in paragraph e(2) above, utilizing the e-forms at the generalist, managerial, or executive level. If these statements do not adequately describe the supervisor's expectations for the respective position, he or she may use any combination of these three levels to create position expectations that more accurately reflect the nature of the job.~~

(5) The supervisor and employee both prepare for the appraisal by organizing information and identifying accomplishments, reviewing past and future performance goals for the evaluation period, deciding what issues need to be discussed, ~~and considering what resources or development need to occur in the future~~ identifying whether new or additional resources are needed to do the job, and determining future developmental needs.

(6) Typically, ~~the~~ review session occurs with the supervisor and employee **meeting face to face** and together, review goals from the previous year and create a future action plan. **In extenuating circumstances, other models may be used as appropriate to provide for this**

exchange of information. In either case, the ~~The~~ supervisor concludes the review process by documenting the session— recording both goals met and those not completed, and identifying future performance goals and resources available to support change. ~~If an employee~~ An employee may make additional comments on their review. Additionally if an employee disagrees with their supervisor's review, these comments should be recorded as a part of the review document. ~~the process for recourse should be clear.~~ Regardless of the form used, each party needs to sign and date the form and have opportunity to include comments. ~~Deans and Vice Presidents will be responsible for ensuring that each administrative unit for which they are responsible meets the requirements of this policy and shall report annually to the Senior Vice President for Finance and Operations on the operation of the policy in the college or division. Reporting occurs utilizing HR web applications (www.uiowa.edu/hr/webinfo.html).~~

The Performance Management website at <http://www.uiowa.edu/learn/perfmgt/index.html> details the components of preparing and conducting an effective performance review. For clarification regarding guidelines for the performance review process in a specific unit, please contact that unit's Human Resources representatives. To identify your Human Resources representative, access the "My Information" tab of self-service "My HR Unit Representative".