



University of New Haven

Human Resources Policy/Procedure

Policy / Procedure Title	Applicability / Scope	Purpose	Effective Date	Responsible Party	Pages
Performance Management Policy & Procedure	Administrative Employees	Provide employees with process regarding the performance management process	7/1/23	Associate Vice President Human Resources & Organizational Development	4

The University's Performance Management Policy (PMP) seeks to create a culture of excellence, motivating employees to perform at their highest level. It emphasizes regular communication between the employee and the supervisor about the employee's assignments, job performance, and expectations. The PMP provides an avenue in which supervisors:

- Communicate with employees in order to mutually identify, discuss, and document performance expectations.
- Collaborate with employees in establishing "Smart" goals;
- Provide employees with regular feedback regarding their performance;
- Observe, monitor, and document work performance;
- Coach employees and provide opportunities for education, training, and development;
- Assess whether or not previously established goals were achieved.
- Initiate a formalized Process Improvement Plan (PIP), if necessary.

Process Guidelines

I. Performance Management Process

The performance management process relates to the sequence of actions that supervisors and managers take when interacting with employees about their performance. The three stages of this process are **planning, managing, and appraising**.

- 1. Planning.** In this stage of the performance management process, it is the supervisor's responsibility to explain the PMP to the employee so that the employee understands the importance of their role in the department and the University. In June of each year, the supervisor and the employee must meet to:

- a. Discuss and record the employee's current responsibilities by reviewing the employee's current job description and updating it if necessary;
- b. Discuss performance expectations;
- c. Establish "**Smart**" goals which are critical to the success of the individual, the department, and the University. "**Smart**" goals are:
 - i. **Specific**—What specifically is the employee responsible for?
 - ii. **Measurable**—What standard will be used to measure their success?
 - iii. **Attainable**—Does the employee have the necessary resources and skills in order to meet their goals?
 - iv. **Results**—What is the desired objective or end result?
 - v. **Time-Limit**—What are the deadlines for meeting the established goals?
- d. Discuss, identify, and establish methods by which to measure SMART goal accomplishments by utilizing the [goal setting form](#); and document expected results on that form.

2. Managing. This stage of the performance management process includes the day-to-day monitoring of the employee's progress toward achieving the established performance expectations. Although the PMP requires only one annual performance review conducted each June, the supervisor should continue to coach the employee, reinforce good performance as appropriate, and identify areas where the employee may need improvement. This approach is vital for the success of the performance management process. In this stage:

- a. The supervisor and the employee regularly monitor performance progress by using the established methods of measurement which were defined in the planning stage. This information should provide the basis for specific feedback and discussion. At a minimum a conversation should take place three times per year in addition to the formal review that occurs in June. Coaching and reinforcing discussions should be occurring on an ongoing basis and should always be documented by the supervisor.
- b. In December of each year supervisors should determine if each employee is meeting the mutually established goals. This is a good time to recalibrate and ensure that the goals and performance are on track. If the supervisor feels the employee is not meeting performance expectations, then a Mid-Year Review should be completed by the supervisor and reviewed with the employee. Although the mid-year review is not as formal as the annual review, it does require the supervisor to identify those facets of the employee's performance that are not meeting expectations and what steps the employee must take to remedy the situation.
- c. If an employee has been given a mid-year review and fails to show an immediate and discernable commitment to improvement, the Supervisor should contact the Human Resources Department to discuss placing the employee on a formalized Performance Improvement Plan (PIP).

- d. A formalized PIP should define the areas of performance and/or conduct that are unsatisfactory, identify specific action steps the employee needs to take in order to meet performance expectations and define the time-frames associated with meeting those objectives.
 - e. Employees who do not show immediate and sustained improvement during the PIP process may be suspended or terminated from employment.
 - f. Employees who successfully complete a formalized PIP may be terminated if their work performance reverts to unsatisfactory soon after they complete the PIP.
 - g. Supervisors are required to contact the Human Resources Department before placing an employee on a PIP or taking any type of disciplinary action.
 - h. If there are **no** performance issues with an employee and they are on target to meet their goals then a Mid-Year Review is **not** required by the supervisor.
- 3. Appraising.** During the final stage of the performance management process in June, the employee and the supervisor will conduct evaluations to determine if the employee's established goals have been met. Each performance factor will be rated using the defined rating scale of 1 to 4.
- a. The employee will provide input by describing their performance outcomes for each performance factor on the PMP form. These descriptions will serve as input for the supervisor to use in assigning a performance rating for each area.
 - b. The immediate supervisor must then (i) rate each Performance Factor, (ii) discuss the results with their next level supervisor, and (iii) receive approval for the rating from the next-level supervisor. **The supervisor must not discuss the final rating with the employee unless the next-level supervisor has approved the supervisor's rating.** In most cases there is a 2 level supervisor approval. However, some areas may require approval up to the officer level.
 - c. The immediate supervisor and the next-level supervisor must concur on the final rating for each employee. Once the employee's supervisor and the next-level supervisor have discussed and agreed on the rating, the immediate supervisor will then meet with each of their employee(s) to discuss the employee's performance and record the actual results for each of the employee's established goals.
 - d. The supervisor must provide a written summary statement supporting the overall rating.
 - e. Ratings for each performance factor may range from 1 to 4. It is recommended that the rating supervisor use a variety of ratings. The ratings must be a whole number.
 - f. The employee may submit a rebuttal statement or response in writing within seven (7) days following receipt of the supervisor's overall rating. Such written input will be appended to the performance evaluation prior to the completion of the evaluation process and be sent to the next-level supervisor for review before the evaluation is finalized.

- g. The performance evaluation form must be signed and dated by the employee, the supervisor, and the next-level supervisor.
- h. No changes will be made to the Performance Management Evaluation form once it has been reviewed by the employee and reviewing supervisor, without the employee's knowledge.
- i. Overall ratings of "Exceptional," MUST be accompanied by detailed documentation of performance above and beyond the established goals and expected performance.
- j. An Overall rating of "Needs Improvement" MUST be accompanied by detailed documentation that explains why the employee's performance and/or behavior is unsatisfactory and what performance objectives, deadlines, or tasks were not met during the performance period. **A rating of "Needs Improvement" should never come as a surprise to an employee and should only be given after the supervisor has engaged in well documented coaching and feedback sessions with the employee throughout the performance year.** As discussed under Section II of this Policy under the heading "University Rating Scale", a rating of "Needs Improvement" requires a PIP. If an employee's overall performance is in the "needs improvement" category two years in a row, or two times in a three- year period, another PIP will not be required, and the employee will be terminated. Discussions with HR must occur regarding an employee's poor work performance, PIPs and/or termination of employment.
- k. If an employee does not agree to sign their Annual Performance Evaluation, the supervisor should sign the evaluation form making a notation that the employee chose not to sign the evaluation.
- l. All original Annual Performance Management Evaluation Forms must be submitted to the Human Resources Department electronically by the announced deadline for submission. A copy should **always** be given to the employee and a copy should be kept by the supervisor.

II. University Rating Scale: The University's overall Rating Scale consists of 4 levels; and must be a whole number between 1-4, NO DECIMALS.

- (1) Needs improvement: While some areas may be met, performance is inconsistent and does not meet an acceptable level of expectation. Immediate improvement sustaining an acceptable standard of performance is required. The employee's supervisor should work with Human Resources on follow-up actions.
- (2) Effective: Performance is consistent and solid, reliable, and meaningful contributions are made to the department and/or UNH. Consistent in meeting the requirements of the position in terms of quality and quantity.
- (3) Highly Effective: Performance frequently exceeds expectations and job requirements, and the performance level is sustained. The quality of work is consistently at a high level.
- (4) Exceptional: Performance consistently exceeds expectations and exceptional results are delivered against performance goals. Work is widely recognized as positively and significantly impacting the department and/or UNH operations, demonstrating innovation and initiative in all aspects of the position; seen as a UNH role model.