7.8 Performance Management

7.8.1 Policy

This policy establishes procedures for the performance management process for University Staff at UW-River Falls. The process includes providing clear objectives that are in alignment with the mission, vision, and values of the university; ongoing and valuable feedback; professional development; and recognition for work well done. The performance management process shall foster continued improvement in employee’s work performance and will serve as a component in the determination of merit-based salary adjustments for University Staff. These procedures follow the framework provided in UW System Operational Policy: HR 5.

7.8.2 Performance Standards

Standards should be established within 30 days of the new employee’s start date or immediately following the completion of the annual evaluation period for existing University Staff. The standards will be documented by completing the University Staff Performance and Planning Review form (see Attachment #1 for the form and details on completion of the form). See Attachment #2 for a performance calendar outlining the steps of the process and due dates.

The first step of the performance management process is to establish performance standards for the employee based on each key area of responsibility in the position description. The standards will identify a baseline for measuring performance. They should clearly identify what the employee needs to accomplish and how to accomplish it.

- Be realistic. The standards should be attainable by any qualified, competent, and fully trained person who has the authority and resources to achieve the desired result;
- Be expressed in terms of quantity, quality, time, cost, effect, manner of performance, or method of doing; and
- Be measureable.

After establishing the standards, supervisors should ask themselves the following questions:

- Are the standards fair? Are they comparable to expectations for other employees in similar positions? Do they allow for some margin of error?
- Are the standards attainable? Are they reasonable? Can a person accomplish the goals and expectations in the time allowed?
- Are they challenging? Does the employee need to exert a reasonable amount of effort?
- Are the expectations quantifiable, observable, and verifiable?
Developing sound goals is critical to managing performance. Employees should be involved in setting Employee Development and/or SMART goals for the upcoming evaluation period. It is the supervisor’s discretion to decide whether or not it is appropriate for an employee to have both Employee Development and SMART goals or just Employee Development goals or just SMART goals. At a minimum, employees must have either Employee Development goals or SMART goals. A SMART goal is defined as one that is:

Specific: Simplistically written and clearly defines what the employee is going to do.

Measurable: Measurable so there is tangible evidence that the goal has been accomplished. Typically the entire goal statement is a measure, but there may be short-term or smaller measurements built into the goal.

Achievable: Must be attainable by the average employee. They should stretch the employee slightly so he/she feels challenged but defined well enough so that it can be achieved.

Relevant: Results can realistically be achieved, given available resources.

Time-bound: Timeframe when the results can be achieved.

Examples of SMART goals:

- Complete a business writing course by the end of the spring semester and publish a department newsletter by July 1.

- Inventory and appropriately label chemical storage area by July 1.

- Complete a Microsoft training course and obtain certification by April 1.

If the supervisor chooses to set Employee Development Goals, the goals should be documented on the University Staff Performance and Planning Review form. Employee Development Goals can come in the form of mentoring, assigning interesting and challenging projects, and etc.

The supervisor will meet with the employee upon completion of the University Staff Performance and Planning Review form and discuss the expectations for the upcoming review period. A copy of the signed document will be given to the employee. The original is retained by the supervisor.

Note: The document should be reviewed and modified, as necessary, if position duties are changed during the review period. Changes to expectations of standards and goals during the year should be reviewed with employee and documented.

7.8.3 Performance Review/Evaluation

The annual performance review process will occur starting in April. Supervisors must complete and submit a performance evaluation document to Human Resources for each University Staff employee no later than the second Friday of June. Instructions on how to complete the form are included with the review form (see Attachment #1).

Probationary employees will receive a performance review two times during the required probationary period (at 3- and 6-months for 6-month probationary employees or 6- and 12-month probationary employees).
months for 12-month probationary employees). Information provided in the review will serve as the basis for determining whether the employee will continue in the position or be terminated.

Supervisors have the responsibility to recognize and reinforce strong performance by an employee and to identify and encourage improvement where needed. Feedback should be timely. To be most effective, performance management should happen continuously throughout the review period. A supervisor will have many contacts with the employee and have the opportunity to provide continuous feedback throughout the year. Each supervisor should document interactions to reference when completing the University Staff Performance and Planning Review form.

When preparing the performance review, schedule a mutually convenient time and place to discuss the upcoming review and to allow the employee to provide input. Supervisors may ask the employee to provide a pre-review self-evaluation, which will be discussed at the meeting. Supervisors may include that information on the document and note the input as Employee Comments or simply keep that input in mind when writing the final review. To help further the discussion, the supervisor may want to draft a list of questions for the employee to consider when evaluating his/her own performance. For example:

- What have been your major accomplishments on the job during the review period?
- What have you done to meet your established goals?
- What could you have done better?
- What could I do as your supervisor to help you do your job better?

The review form should be completed using the performance standards that were established on the University Staff Performance and Planning Review document at the beginning of the review period. The supervisor will use the knowledge gained from monitoring the employee’s performance during the review period to compare that performance against the standards and when assigning an applicable rating. Negative information provided should not be a surprise to the employee, particularly when the supervisor and the employee should have had performance discussions during the review period.

Common rating issues that prevent supervisors from making meaningful and accurate distinctions in performance should be avoided. For example:

- Leniency – rating employees too favorably such as rating all employees “Exceeds Standards.”
- Halo Effect – generalizing the overall opinion of performance based on familiarity with the employee’s performance in one area.
- Discrimination – making intentional or unintentional distinctions among employees that are not applicable to performance.
- Limiting Review Comments to Recent Months – focusing on most recent months. Track, document, and rate performance for the entire review period. Avoid focusing on the last months before the end of the review period.

Supervisors will designate an overall rating on the form and are required to include comments and specific examples to support the overall rating. The overall rating should be supported by the individual ratings and comments provided throughout the form. The Dean, Director, or next level supervisor will review the performance review documents for the work unit prior to the
A supervisor meeting with the employee. The purpose of the review is to ensure that different supervisors are consistent with evaluating performance.

The supervisor will schedule a meeting with the employee to discuss the performance review. This is an opportunity to discuss any ongoing challenges and brainstorm ways to solve those issues. It is also a time to discuss successes. Upon completion of the meeting, both the supervisor and the employee will sign the University Staff Performance and Planning Review document. Note: The employee signature reflects that the employee had an opportunity to read and discuss the review. It does not indicate agreement.

A copy of the signed form should be made by the supervisor for the employee. The original will be signed by the Dean, Director, or next level supervisor and then forwarded to Human Resources for placement in the employee’s personnel file.

If overall performance is “Needs Improvement” or “Unsatisfactory”, a written plan will be developed. See XXXXXXXXX for information regarding that process.

7.8.4 University Responsibilities and Background

The Office of Human Resources will maintain this policy.

This policy document was approved on XXXXX and defines the UW-River Falls Performance Management Policy as of July 1, 2015.

7.8.5 Related Documents/References

UW System Operational Policy: HR 5 – Performance Management
UWRF Performance Improvement Plan Policy
# University Staff Performance Planning and Review

<table>
<thead>
<tr>
<th>Employee Name:</th>
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<tr>
<td>Employee Title:</td>
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<td>Department:</td>
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<td><strong>Review Period:</strong></td>
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<td>Review Period:</td>
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<td>Review Type:</td>
<td>Annual ☐</td>
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<tr>
<td>Supervisory Recommendation:</td>
<td>Permanent Appointment ☐</td>
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<td>(Probationary Review)</td>
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## University Staff Planning Meeting

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<th>Planning Date:</th>
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<td>Employee Signature:</td>
<td>Date:</td>
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<tr>
<td>Supervisor Signature:</td>
<td>Date:</td>
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(Employee signature does not necessarily indicate agreement but attests that the employee has had an opportunity to read and discuss the plan.)

## University Staff Review Meeting

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<thead>
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<th>Review Date:</th>
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<td>Supervisor Signature:</td>
<td>Date:</td>
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<td>Dean / Director or Next Level Supervisor Signature:</td>
<td>Date:</td>
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(Employee signature does not necessarily indicate agreement but attests that the employee has had an opportunity to read and discuss the review.)

Human Resources Use Only:
**Overall Rating**

The overall rating should consider the ratings for the core competencies, key responsibilities, SMART goals, and employee development goals. It is the Supervisor’s discretion to determine how each area is weighted when deciding the overall rating.

Exceeds Standards – Performance is consistently higher quality and greater quantity.

Meets Standards – Performance is average quality and quantity. Can occasionally exceed in some areas.

Needs Improvement – Performance is below standards in many areas.

Unsatisfactory – Performance is far below standards in all areas demonstrating unsuitability for current role.

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<tr>
<th>Exceeds Standards</th>
<th>Meets Standards</th>
<th>Needs Improvement</th>
<th>Unsatisfactory</th>
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Comments:
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**Core Competencies**

**Communication:**
Timely communicates with respect and actively listens by limiting interruptions and responding concisely.

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<th>Exceeds Standards</th>
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**Customer Service:**
Engages in all job-related interactions in a courteous and professional manner with a focus on best outcome for the customer.

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<th>Exceeds Standards</th>
<th>Meets Standards</th>
<th>Needs Improvement</th>
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**Change Adaptation:**
Willingly and respectfully anticipates, identifies and adopts changes.

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**Time Management:**
Uses time efficiently and effectively to achieve the most productive outcomes. Respectful of others’ time. Completes work when expected. Adheres to work hours.

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**Organization and Planning:**
Manages multiple tasks and effectively organizes work to be as productive as possible.

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**Leadership, Cooperation and Teamwork:**
Models integrity and ethical behaviors. Respectfully suggests process improvements, areas to gain efficiencies and solutions to challenges. Mentors others. Builds positive working relationships internally and externally.

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**Workplace Safety:**
Understands and adheres to safe and healthy workplace practices and emergency procedures.

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**Key Responsibilities and Expected Results**

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**[COPY AND PASTE MORE “KEY RESPONSIBILITIES AND EXPECTED RESULTS” BLOCKS AS NEEDED]**
SMART Goals
Specific, Measurable, Achievable, Relevant, Time-Bound

SMART Goals:
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<tr>
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Employee Development

Comments:
Click here to enter text.

Employee Comments

Comments:
Click here to enter text.
Performance Planning and Review Instructions

This is a two-step process that will include two meetings that will utilize different sections of the same form. The first meeting scheduled within a couple weeks of the beginning of the review period will be performance planning. This meeting will establish a clear understanding of how the employee’s performance will be rated as well as establishing goals.

The second meeting at the end of the review period will be the performance review.

**Performance Planning** (beginning of review period)

1. Complete Employee Name, Employee Title and Department.
2. Enter Review Period. Start Date should be date of hire or first date following last review. End Date should be the scheduled date for the end of the review period.
3. Check the appropriate Review Type.
4. Supervisory Recommendation should remain blank.
5. Enter Planning Date.
6. Enter Key Responsibilities and Expected Results. Copy and paste as many blocks as needed.
   - Examples: Prepare monthly budget reports by the 5th of each month.
   - Complete annual performance reviews for all staff by the 2nd Friday in June.
7. Enter SMART Goals and / or Employee Development.
8. Save the planning document to a safe storage area; you will need this partially completed form later for the Performance Review.
9. Employee and supervisor sign / date in the University Staff Planning Meeting section. The supervisor retains the signed planning document and provides the employee with a copy.

**Performance Review** (end of review period)

1. Using the partially completed form saved from the Performance Planning meeting, complete the ratings and comments for Core Competencies/Key Responsibilities and Expected Results.
2. Provide comments and ratings for Smart Goals, if used, and Employee Development.
3. Considering all performance ratings, provide an Overall Rating and comments in support of the overall rating decision.
4. If employee is probationary and this is the end of the probationary period, check the appropriate Supervisory Recommendation for permanent appointment or terminate appointment.
5. Employee may add comments if desired in the Employee Comments section.
6. Employee and supervisor sign / date in the University Staff Review Meeting section.
7. Obtain Dean, Director or Next Level Supervisor signature.
8. Forward signed original form to UWRF HR office for placement in employee’s personnel file.
## Performance Management Calendar

<table>
<thead>
<tr>
<th>Action</th>
<th>Responsible Party</th>
<th>Due Date</th>
<th>Form/Mode of Communication</th>
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<tbody>
<tr>
<td>Develop SMART goals, communicate performance standards and complete planning meeting.</td>
<td>Employee and Supervisor</td>
<td>By June 30 of the year preceding review</td>
<td>LINK FOR PLANNING DOCUMENT</td>
</tr>
<tr>
<td>Notify supervisors that performance review process should be initiated</td>
<td>Human Resources</td>
<td>By first week in April</td>
<td>By email</td>
</tr>
<tr>
<td>Prepare self-evaluation for the past year of work and give it to evaluating supervisor</td>
<td>Employee</td>
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<td>Varies</td>
</tr>
<tr>
<td>Prepare Performance Planning and Review document including recommended overall rating. Send to Dean/ Director/ Next Level Supervisor for preliminary review (may be submitted by email)</td>
<td>Evaluating Supervisor</td>
<td></td>
<td>LINK FOR PERFORMANCE REVIEW FORM</td>
</tr>
<tr>
<td>Evaluate overall rating and return Performance Planning and Review document to evaluating supervisor (may be an email exchange)</td>
<td>Dean/ Director/ Next Level Supervisor</td>
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</tr>
<tr>
<td>Conduct performance review with employee and submit signed documents to Dean/ Director/ Next Level Supervisor</td>
<td>Evaluating Supervisor and Employee</td>
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</tr>
<tr>
<td>Sign Performance Planning and Review document and forward all documents to Human Resources</td>
<td>Dean/ Director/ Next Level Supervisor</td>
<td>By second Friday in June</td>
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