


<p><b>Name of Policy:</b> <u>Performance evaluation, non-faculty</u></p> <p><b>Policy Number:</b> 3364-25-45</p> <p><b>Approving Officer:</b> President</p> <p><b>Responsible Agents:</b> Associate Vice President and Chief Human Resources Officer</p> <p><b>Scope:</b> All Campuses</p>	 <p><b>Review date:</b> July 18, 2018  <b>Effective date:</b> April 1, 2011</p>
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<input type="checkbox"/>	New policy proposal	<input checked="" type="checkbox"/>	Minor/technical revision of existing policy
<input type="checkbox"/>	Major revision of existing policy	<input type="checkbox"/>	Reaffirmation of existing policy

(A) Policy Statement

The University of Toledo strives to have employees evaluated on at least an annual basis.

(B) Purpose

The University of Toledo is committed to providing timely and relevant feedback to employees about their job performance, advancement opportunities, areas of strength and areas for improvement.

(C) Procedure

All management will have the overall responsibility of ensuring that all evaluations are completed and submitted to the Human Resources Department in a timely manner. Raters are expected to review the employee’s past performance for the entire reporting period.

Scores may be substantiated with evaluator comments. The comments are to be as objective as possible. Additionally, any rating that has a rating of 1 in any one of the values or behaviors must have a performance improvement plan. The performance improvement plan should include dates of next review in those areas identified as needing improvement and consequences for failure to meet expectations.

Each evaluation will include as part of the process an interview between the rater and the employee giving an opportunity for each to discuss the ratings. During the evaluation interview the rater and the employee should discuss each dimension rated and the reason for the rating. At this time the two parties should discuss and document any future job performance expectations.

At the conclusion of the evaluation interview the rater and the employee being evaluated will have the opportunity to make additional comments on the form. At a minimum, the rater, and the employee are required to sign the evaluation. Depending on the level of the rater another level of review will be required. The signature memorializes the date the evaluation procedures occurred, and does not indicate agreement by the employee. The employee may submit a rebuttal to the evaluation to their direct supervisor or to the Human Resources Department within ten (10) business days. The rebuttal shall be attached to the evaluation document. A copy will be maintained in the department file as well.

(D) Key Foundational Elements for Performance Management

The University provides standardized performance evaluation forms and support tools. Each department is required to use these forms; however, additional evaluation aspects may be added after consulting and collaborating with the Human Resources Department. Performance management is an on-going process that occurs during the rating period. Key elements to this process include:

- (1) Performance planning- Clear performance objectives are identified and communicated at the beginning and throughout the performance cycle. These performance objectives should align with unit and university goals and institutional values.
- (2) Coaching- Coaching is a tool used to help develop the employee and utilize their talents for individual and institutional success. Coaching should occur on a regular basis and include a discussion of professional development.
- (3) Feedback- Feedback is information about observed behavior that is appreciative or constructive. Customers, peers and direct reports can provide important feedback to supplement the supervisor's observations. It is important to gather informal feedback as appropriate throughout the year.

(E) Responsibility

Human Resources is authorized and responsible for developing tools and procedures for effective performance management. Departmental heads and supervisors are responsible for developing a successful performance culture.

(F) Types of Evaluation

- (1) **Mid-Probation:** Hourly employees in a probationary status may receive an evaluation at the mid-point of their evaluation period. The feedback maybe informal (verbally) or formal (documented).
- (2) **End of Probation:** Hourly employees in a probationary status may, as appropriate, receive a final probationary evaluation prior to the end of the probationary period.

Probationary periods may be extended by mutual agreement of the appropriate parties.

- (3) **Annual:** All employees are to receive an annual performance review.
- (4) **Special:** Individuals may have their performance evaluated outside of the evaluation schedule.

(G) Annual Due Dates

- (1) **Professional staff and FOP:** The annual evaluation period is April 1<sup>st</sup> to March 31<sup>st</sup>. The annual evaluations are due to Human Resources by June 1<sup>st</sup>. All performance evaluations will be done according to this schedule, unless an evaluation was previously given to the employee between October 1<sup>st</sup> and March 31<sup>st</sup> of the evaluation period. If such an evaluation was issued, no annual evaluation is required until the next evaluation period.
- (2) **CWA:** CWA employees, please refer to the collective bargaining agreement for the evaluation period.
- (3) **UTPPA:** The annual evaluation period is from January 1<sup>st</sup> through December 31<sup>st</sup>.
- (4) **AFSCME:** The annual evaluation due dates are to be staggered throughout the course of the year. This is in an effort to offer relief to departments with large numbers of employees. The staggered due dates will be split alphabetically based on the last name of the employee. All performance evaluations will be done on an annual basis unless an evaluation was given within six (6) months of the end of the period being evaluated and will be based on last name. Please refer to the chart below for the evaluation due dates.

ALPHA	RATING PERIOD Prior year	DUE DATE Current year
A-D	1/1- 12/31	3/1
E-K	4/1- 3/31	6/1
L-P	7/1- 6/30	9/1
Q-Z	10/1 - 9/30	12/1

(H) Evaluation Process Responsibilities:

- (1) The Human Resources Department will track evaluations received. It is the Department Director's responsibility to ensure that all evaluations are completed thoroughly and timely.

- (2) It is the responsibility of the evaluator to record their assessment of the employee for the various values or behaviors listed on the performance appraisal tool. The evaluator's assessment will be based on objective and demonstrated supportable data consistent with job duties contained in the employee's job description. Consider the following:
- Work product documentation(s)
  - Written observation of job performance
  - Significant job related incidents
  - Supplemental Feedback- job related observations of others who work closely with the employee including appropriate supervisors or managers
  - Goals and objectives as they relate to the employee's responsibilities
- (3) If the employee has changed supervisors within the rating period prior to the due date of the annual performance review, the new evaluator is to consult with the previous supervisor and complete a joint performance review. If the previous supervisor is not available, consultation with another person knowledgeable of the employee's past performance should be made.
- (4) Where the employee receives a rating of 1 in any one of the values or behaviors it is mandatory that comments are included on the performance improvement plan which indicates how the employee can reach an acceptable level of performance.
- (5) It is the responsibility of the evaluator to ensure that the employee's evaluation is conducted in accordance with procedures outlined by Human Resources.
- (6) Mid and end probationary evaluations are the overall responsibility of the department directors. In the event that the employee is unsuccessful in their probationary period the department director/designee is to contact the Human Resources Department prior to the due date. Probationary removals must be authorized by an Appointing Authority of the University.
- (7) The original evaluation document is submitted to the Human Resources Department for processing. A signed job description is also to be attached to the performance evaluation; if required.

<p><b>Approved by:</b></p> <p><u>/s/</u> Sharon L. Gaber, Ph.D. President</p> <p><u>July 18, 2018</u> Date</p> <p><i>Review/Revision Completed by:</i> Associate VP and Chief HR Officer, SLT</p>	<p><b>Policies Superseded by This Policy:</b></p> <ul style="list-style-type: none"><li>• <i>3364-25-45 Performance evaluation, non-faculty (Health Science Campus only)</i></li><li>• <i>3364-25-46 Performance evaluation, non-faculty (Main Campus only)</i></li><li>• <i>Previous 3364-25-45, effective date July 16, 2013</i></li></ul> <p>Initial effective date: April 1, 2011 Review/Revision Date: May 7, 2012; July 14, 2013; November 22, 2016; April 19, 2017, July 18, 2018 Next review date: July 19, 2021</p>
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