

Performance Management Evaluations

OVERVIEW

Performance evaluations provide the following benefits:

- Documentation of employee competence and productivity.
- Support for achievement of organizational goals and objectives.
- Documentation of an employee's strengths, and areas needing improvement.

Performance evaluations are required at least annually.

Applicability

This policy applies to the following employees:

- [Faculty](#)
- [Administrative professional](#) (AP)
- [Civil service](#)

Collective bargaining unit employees refer to the applicable bargaining unit agreements for requirements regarding performance evaluations.

Resources

Sample performance expectations and advisory guidelines for safety performance factors are available by employee category under the Managers area of the Human Resource Services (HRS) website at:

hrs.wsu.edu

FACULTY ANNUAL REVIEW

Faculty are reviewed annually in accordance with policies and regulations in the *Faculty Manual*. To view the manual, go to:

facsen.wsu.edu/faculty_manual/

The Office of the Provost provides forms and instructions to supervisors during the spring semester.

Faculty may use the Activity Insight system for compiling annual review information. To access Activity Insight, go to:

provost.wsu.edu/annual-review/activity-insight/

Direct questions regarding the faculty annual review process to the Office of the Provost; telephone 509-335-5581.

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ADMINISTRATIVE PROFESSIONAL (AP) ANNUAL REVIEW

Administrative professional (AP) personnel are evaluated annually on a calendar year (January 1 - December 31) or academic year basis, as determined by the senior executive for the area and in accordance with guidance found in the *Administrative Professional Handbook*.

To view the handbook, go to the HRS website at:

hrs.wsu.edu/ap-handbook/

Required Form

Use the Annual Review: Administrative Professional Employees form to document the evaluation of an AP employee. Supplemental information may be used to support the rating. HRS provides form instructions to supervisors during the spring semester.

HRS must review and approve any alternate AP annual review forms prior to department use. HRS maintains a record of all units requesting and using alternate annual review forms and also maintains a copy of the review form used by each requesting unit.

The Annual Review: Administrative Professional Employees form is available in PDF and FileMaker format on the PR&F website at:

policies.wsu.edu/prf/index/forms/

The AP employee provides his or her achievements for the review period and goals for the next review period. Submitted materials should not exceed three pages.

Routing

Route copies of the signed evaluation and all of the evaluation materials to the following:

- Employee
- Employee's immediate supervisor
- Human Resource Services

Questions

Direct questions regarding the administrative professional annual review process to HRS; telephone 509-335-4521.

Personnel Reporting Directly to President

Chancellors, vice presidents, and University Council members who report directly to the President are evaluated annually on an academic year basis.

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CIVIL SERVICE EMPLOYEE EVALUATION

The following civil service employee performance evaluation requirements and procedures in this section are in accordance with WAC 357-37.

Requirements

Supervisors must provide feedback and formally evaluate the performance of the following:

- A probationary employee or permanent employee serving a trial service or transition review period before the employee attains permanent status in the position.
- A permanent employee at least once annually prior to the employee's scheduled Periodic Increment Date (PID). See WAC 357-28-050 and -056 for information about the PID.

NOTE: Immediate supervisors may postpone evaluation for employees who have recently been reassigned, transferred, laid off, or demoted to their current positions until they have completed six months of service in the new positions.

Performance evaluations are not to be used to *initiate* personnel actions such as transfer, promotion or discipline.

Preparation and Review

The immediate supervisor is responsible for preparing the civil service employee performance evaluation in accordance with this policy.

The evaluation is reviewed by the employee's second level of supervision.

Required Form

Use the Employee Performance Evaluation form to document the evaluation of a civil service employee. Supplemental information may be used to support the rating.

HRS must review and approve alternate employee performance evaluation forms prior to department use. Human Resource Services maintains a record of all units requesting and using alternate employee performance forms and also maintains a copy of the evaluation form used by each requesting unit.

The Employee Performance Evaluation form is available in PDF and FileMaker format on the PR&F website at:

policies.wsu.edu/prf/index/forms/

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Performance Factors

Evaluate each civil service employee on the basis of the following factors:

- Quality of work
- Quantity of work
- Job knowledge
- Working relationships
- Supervisory skills, if applicable
- Work related optional factor(s)

An optional factor must be relevant to the job; e.g., safety requirements as defined and appropriate for the position.

The supervisor must provide the employee with prior notification at the beginning of the rating period regarding any rating factor used for evaluation.

Performance Ratings

Rate employees on each performance factor according to the scale indicated on the required form.

Performance Expectations

The immediate supervisor determines the performance expectations to be used as the basis for the ratings. The performance expectations must be applicable to the employee's position.

The supervisor is to provide the performance expectations to the employee within a reasonable time frame at the start of his or her appointment and at the beginning of each review period if the expectations change.

Responsibilities

Supervisor

The supervisor is responsible for:

- Explaining the employee's responsibility for successfully performing assigned job duties and meeting expectations. This explanation must be given at the time of appointment and is to include providing the employee with a position description and performance expectations.

Providing copies of the revised documentation to the employee at the beginning of each review period, when either the position description or the performance expectations are revised.

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Supervisor (cont.)

- Assessing how well the employee has efficiently and effectively contributed to fulfilling departmental and position objectives.
- Recognizing an employee's successful job performance and identifies opportunities for improvement in job performance.
- Properly carrying out his or her responsibilities to complete annual performance evaluations in accordance with this policy. The manager and supervisor's position descriptions and, if applicable, performance expectations should reflect the responsibility to evaluate employees.

Civil Service Employee

The civil service employee is responsible for:

- Requesting clarification of any job duty, standard, or expectation that is unclear.
- Performing work as assigned and meeting job standards and expectations.
- Participating in the performance evaluation process.
- Communicating with his or her supervisor and sharing successes and problems so that the supervisor may better measure progress and provide assistance.

Procedures

Review Period

The review period is based on:

- The completion date for the employee's trial service, probation, or transition review period.
- The employee's Periodic Increment Date (PID). Example: If the employee's PID date is January 1, the review period for which the employee is evaluated is the prior January through December.

NOTE: An alternative ending date for the review period may be used if mutually agreed upon by the supervisor and employee.

Prior to the Review Period

Prior to the review period, the supervisor is to provide the employee with a copy of the position description and performance expectations for the position.

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Prior to the Review Period
(cont.)

HRS provides assistance with position descriptions and performance expectations. Samples of position descriptions and performance expectations are available from the HRS website at:

hrs.wsu.edu/managers/performance-recognition/

During the Review Period

During the review period, the supervisor:

- Observes the employee's performance.
- Assesses how well the employee contributes to efficiency and effectiveness by fulfilling departmental objectives and the performance expectations for the position.
- Monitors employee progress and performance in relation to position descriptions, established performance expectations, University policies and procedures, and department guidelines.
- Provides informal feedback on a continuing basis, including positive and negative feedback. Maintains informal notes of performance, if necessary.

Contact HRS with questions regarding appropriate documentation.

- Reminds the employee in advance that the review session is due. A good time frame is 30 days prior to the evaluation date.

Prior to Completing
Evaluation and Meeting With
Employee

Throughout the review period and prior to completing the performance review and meeting with the employee, the supervisor is to:

- Review previously established performance expectations.
Revise performance expectations for next review period if needed.
- Review current position description.
Revise the position description for next review period if needed.
- Review notes relating to employee performance.

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Prior to Completing (cont.)

- Begin completing evaluation form. Rate the employee on all applicable criteria.

Rate the employee realistically. Avoid overrating or underrating the employee. Discuss the employee's ratings with his or her second level of supervision.
- Consider and plan how to conduct the face-to-face review session, including using appropriate interview and coaching techniques.

Additional Options

In addition, the supervisor may:

- Provide the employee with a copy of the evaluation prior to the meeting, e.g., a day before the scheduled meeting, to allow the employee time to review the evaluation.
- Ask for feedback from customers and clients, if applicable; which may be considered when completing the evaluation.
- Allow the employee to complete the evaluation for her or his performance.

The employee submits the completed evaluation form to her or his immediate supervisor. The immediate supervisor reviews and considers the employee's input.

- Ask the employee for input on the current position description and performance expectations.

Review the employee's feedback to determine if the position description and/or performance expectation need to be revised.

During the Face-to-Face Review Session

During the face-to-face review session, the immediate supervisor is to:

- Provide for an adequate uninterrupted time.
- Select a private setting.
- Involve the employee and solicit employee comments.
- Provide feedback on past performance.
- Modify the evaluation if appropriate and give a copy to the employee for comments and a signature.

Immediately After the Face-to-Face Review Session

Route the completed evaluation form to the employee's second level of supervision for signature.

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Routing and Filing

The second level supervisor routes copies of the signed evaluation form and all of the evaluation materials, including the position description and performance expectations, to:

- Employee
- Employee's immediate supervisor
- Human Resource Services

NOTE: To assist with confidentiality, seal the envelope and mark *Confidential* when the mail is used to route personnel evaluations.

Evaluation Retention/Access

HRS retains employee evaluations in the employee's personnel file as long as it has a reasonable bearing on the employee's job performance, in accordance with WAC 357-22-040.

Evaluations are available for review by the employee or his/her designee, the current supervisor and upper levels of supervision. Personnel files, including the evaluation forms, are available for review by a supervisor who may be considering the employee for promotion, transfer, lateral movement, voluntary demotion, layoff, or reassignment.

Prior to viewing a personnel file, the requester must present a photo ID and verification of the reason for the access (if the requester is not the employee).

HRS representatives may access personnel files in the performance of their official duties.

Internal Review of Alleged Irregularities

Within 30 days of receipt of a completed and signed performance evaluation, an employee may submit a written request for the Director of HRS to review alleged irregularities in the use of the approved performance evaluation form and/or procedures.

HRS must notify the employee in writing of the result of the internal review.