1. PURPOSE

Performance appraisals provide a means for informing employees about the quality of their work and identifying areas of performance that may need improvement. Performance appraisals consist of assessing the staff member’s adequacy to perform job duties at desired levels of competence and ability to comply with department, component university, and System standards and policies. Performance appraisal documents provide a supportable basis for making personnel decisions including, but not limited to, training needs, merit pay adjustments, promotions, transfers, continued employment, or terminations.

2. POLICY

2.1. The job performance of all new staff employees will be monitored by their supervisor(s) during the probationary period to determine whether employment should be continued.

2.2. All regular, benefits-eligible staff employees of the System, who have completed their probationary period, shall receive a formal performance appraisal annually. Performance appraisals may also be conducted at other times for valid business reasons.

2.3. Performance appraisals shall be conducted in a manner developed by the component university, and administered consistently throughout the component university. Documentation of annual performance appraisals will be signed by all appropriate supervisor(s), and shared with the employee for the employee’s signature. A copy of the signed appraisal document will be maintained in the employee’s personnel file in the component university human resources department. The employee will be allowed to provide written comments in response to the performance appraisal. These comments should be attached to the appraisal document and placed in the employee’s personnel file in the component university human resources department.

2.4. System-mandated training is considered a minimum job expectation of all employees. System employees who do not complete annual mandatory training by the published deadline will not have met their job expectations and will, therefore, not be eligible for merit increases.
2.5. Merit salary adjustments will not be approved unless a current performance appraisal indicating meritorious performance has been conducted and is on file in the component university human resources department.

2.6. Confidentiality of the performance appraisals shall be maintained to the greatest extent possible. If copies of the performance appraisal are maintained within the employing department, they will be secured in a confidential location for the duration of the employee’s assignment in that department. Completed performance appraisals will not be shown to other employees or supervisors, except on a business need-to-know basis, or with the written consent of the employee, or in compliance with state and federal law.

2.7. No policy or procedure shall be used to discriminate against any individual or group because of race, color, religion, national origin, sex, age, disability, veteran status, or genetic information. Additionally, the System prohibits discrimination in all aspects of employment on the basis of sexual orientation, gender identity or gender expression.

3. POLICY PROVISIONS

3.1. For the purpose of this policy, a regular, benefits-eligible staff employee is one who is employed to work at least 50 percent time for at least four and one-half continuous months, excluding students holding positions for which student status is a requirement for employment. Performance appraisals are not required for individuals employed in a position that requires student status as a condition of employment, individuals employed in temporary positions, or part-time (less than .50 FTE) employees (less than four and one-half months); however, supervisors have the option to use performance appraisals to evaluate the job performance of part-time and temporary employees of their component universities.

3.2. The immediate supervisor is responsible for conducting performance appraisals for all employees under his/her supervision covered by this policy. In the case of multiple supervisors, the evaluation will be conducted by the supervisor who oversees the majority of the work; or, the department head may require separate and independent appraisals by each supervisor; or, all supervisors may be required to provide information to be compiled in a single document. The method should be chosen to ensure that the employee is evaluated in an equitable manner.

3.3. Appraisals will be objective, rather than subjective, and will focus on work performance rather than personal attributes.

3.4. The supervisor will conduct a private discussion with the employee as a part of the appraisal process so that the employee clearly understands the duties of his or her job and the reasons for the supervisor’s assessment of the employee’s performance.
3.5. The employee will be allowed to provide input and to add written comments on the appraisal document. Both the supervisor and the employee will sign the completed appraisal.

3.6. In accordance with the component university’s review process, the completed and signed appraisal document will be forwarded to the component university human resources department for inclusion in the employee’s personnel file.

4. REVIEW AND RESPONSIBILITIES

Responsible Party: Associate Vice Chancellor for Finance

Review: Every five years on or before June 1

5. APPROVAL

Approved: Jim McShan
Interim Vice Chancellor for Administration and Finance

Renu Khator
Chancellor

Date: June 12, 2015

REVISION LOG

<table>
<thead>
<tr>
<th>Revision Number</th>
<th>Approval Date</th>
<th>Description of Changes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>11/04/1994</td>
<td>Initial version</td>
</tr>
<tr>
<td>2</td>
<td>05/23/2000</td>
<td>Applied revised SAM template to meet current documentation standards. Provided minor redlines in Section 1 regarding performance appraisal assessment. Removed Section 2.5 on appeal process. Removed Section 3.3 a, 3.3.b, and 3.3.c from contents. Changed responsible party from VC for Administration and Finance to AVC for Human Resources</td>
</tr>
<tr>
<td>3</td>
<td>05/31/2006</td>
<td>Applied revised SAM template to meet current documentation standards. Removed Section 2.6 on development of detailed procedures by components. Changed review period from even numbered years on or before December 31st to every three years on or before December 31st. Added EVC for Administration and Finance to approval process</td>
</tr>
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<tr>
<td>4</td>
<td>10/14/2008</td>
<td>Applied revised SAM template to meet current documentation standards. Added Section 2.4 on System-mandated training as a minimum job expectation. Changed responsible party from AVC for Human Resources to AVC for Finance. Changed review period from every three years on or before December 31st to every five years on or before June 1st. Removed Section 6, Indexing Terms</td>
</tr>
<tr>
<td>5</td>
<td>06/12/2015</td>
<td>Applied revised SAM template and added new Revision Log. Removed “regular, benefits-eligible” from Section 2.1, making staff performance appraisals applicable for all new staff employees. Added discrimination statement, plus GENDA information on sexual orientation, gender identity and gender expression to Section 2.7. Exempted individuals employed with student status from performance appraisals in Section 3.1</td>
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