

TO: Andrew Leavitt, Chancellor
FROM: John Koker, Provost and Vice Chancellor *JK*
DATE: December 9, 2019
RE: UWS 1254 Performance Management Process Policy

On the recommendations of the Faculty Senate, Senate of Academic Staff, University Staff Senate, and Oshkosh Student Association Senate, I am recommending your approval of the UWS 1254 Performance Management Process Policy.

I have attached the policy for your review. Please contact me if you have questions regarding the proposal.

JK/eh
Attachment

Approve

Do not approve

John Koker

Signature

12/17/2019

Date

The University of Wisconsin System
UPS OPERATIONAL POLICY: SYS 1254
SUBJECT: Performance Management Process



Original Issuance Date: July 1, 2015
Last Revision Date: July 12, 2019

1. POLICY PURPOSE:

The purpose of this policy is to provide a framework for managing and evaluating performance that fosters employee engagement, encourages continuous performance improvement and maximizes the individuals' contribution to the University of Wisconsin System (UW System). The performance management process aligns the individuals' efforts to the organization's goals where job-related and role-specific performance expectations are established; continuous feedback, career and professional development opportunities, and recognition for meritorious performance is afforded to all employees. The performance management process is a critical component and requirement of pay plan administration and other compensation decisions.

2. POLICY BACKGROUND:

Wis. Admin. Code § [ER 45.03](#) require performance evaluations for employees.

3. POLICY DEFINITIONS:

Please see [UPS Operational Policy 1225](#) (formerly GEN 0): General Terms and Definitions for a list of general terms and definitions.

Definitions specific to this policy:

"Performance evaluation" means a continual process of identifying, measuring, and developing job-related employee performance.

"Performance management" is a continual process of establishing expectations, ongoing coaching and feedback, and measuring outcomes in formal performance evaluations of employees.

4. POLICY:

University staff, academic staff, faculty and limited appointees must participate in the formal performance management process, where job related performance expectations are established; goals and objectives are clearly defined and documented; and on-going feedback is provided. Performance outcomes are measured against expectations, established goals and

objectives. Employees-in-training and student hourly employees are exempt from the formal performance management process.

Components of a Systematic Performance Evaluation Process

For all employee categories the performance management process shall include:

- A systematic process that includes goal setting, continuous coaching and feedback, and a documented performance rating scale, where one rating category must indicate the equivalent of satisfactory or meritorious performance. A mechanism to address poor performance should be included.
- Performance evaluations and ratings are retained according to the established UW records retention schedule and based on the institution's policy.
- Written goals and expectations are established based on role-specific job-related duties and responsibilities.
- Performance conversations between the employee and supervisor must take place at regular intervals. In accordance with Wis. Admin. Code § ER 45.03, a formal performance evaluation review shall be conducted with each employee at least every 12 months. One formal rating must be provided in writing and multiple touch points are encouraged throughout the rating cycle.
- The supervisors' observations, the employee's self-evaluation and feedback from others with whom the employee routinely interacts may be considered as factors in the overall performance rating. Performance reviews shall be conducted in accordance with the performance standards outlined Recommendation #9 of the 1992 Report of the Governor's Commission on University of Wisconsin Compensation, adopted by the Board as Regent Resolution #6198, which states salary adjustments should be awarded primarily, if not exclusively, on the basis of merit.
- Appropriate governance input should be sought in the development and on-going maintenance of performance management policies prior to being finalized.
- Mandatory training to include Preventing Sexual Harassment and Violence and Information Security Awareness and other pay plan related requirements must be completed as a requirement for pay plan eligibility.

A. Non-faculty positions: Academic Staff, Limited Appointees, University Staff

- Each institution covered under UPS shall institute a formal performance management process for academic staff, limited appointees and university staff. Employees must be evaluated a minimum of once per year in a formal process, where supervisors provide written documentation of the performance rating and evidence that supports the rating.
- Each institution's evaluation process for instructional academic staff shall incorporate the use of Student Evaluation of Instruction in accordance with Regent Policy Document 20-2.

B. Faculty positions

Tenured Faculty

- Each University of Wisconsin System institution must have an evaluation process, in accordance with Wis. Admin. Code § 3.05 and developed through the normal governance process, for tenured faculty review and development. Each institution's evaluation process must include the components identified in Regent Policy Document 20-9, Periodic Post-Tenure Review in Support of Tenured Faculty Development.
- Each institution's evaluation process shall incorporate the use of student evaluation of instruction in accordance with Regent Policy Document 20-2.

Probationary Faculty

- Each University of Wisconsin System institution must have an evaluation process, in accordance with Wis. Admin. Code § 3.05 for non-tenured faculty review and development. The purpose of the evaluation process is to promote development of professional skills and academic excellence and identify areas for improvement and specific recommendations for performance improvement.

C. Teaching Assistants

Each University of Wisconsin System institution employing teaching assistants shall have a plan to establish standards for supervision and evaluation of teaching assistants pursuant to UPS Operational Policy 1255 Teaching Assistants Selection and Training (formerly HR6)

- All teaching assistants shall be evaluated each semester.
- New teaching assistants must be evaluated for the purpose of teaching improvement in the first semester.
- Evaluation and supervision may be carried out at the college or departmental level, as appropriate.
- All operational areas employing teaching assistants must establish a process for receiving and addressing student complaints and concerns about teaching assistants. This information should be available in the course syllabi.

5. RELATED DOCUMENTS:

Regent Policy Document 20-2, Student Evaluation of Teaching
Regent Policy Document 20-9, Guidelines for Tenured Faculty Review and Development
UPS Operational Policy 1255 Teaching Assistant Selection and Training (formerly HR6)
UPS Operational Policy TC 4, 2017-19 UW System Pay Plan Distribution Guidelines for University
Wis. Admin. Code § UWS 3.05, Periodic Review
Wis. Stat. § 230.37, Standards of performance and ratings
Workforce Wis. Admin. Code Chapter ER 45, Employee performance evaluation

6. POLICY HISTORY:

HR – Presented Policy from System
USP Operational Policy: SYS 1254
Performance Management Process

1. USP Operational Policy: SYS 1254 - Performance Management Process

2. REVISION HISTORY

10/22/2019	Faculty Senate
10/24/2019	Senate of Academic Staff
10/23/2019	Oshkosh Student Association Senate
11/13/2019	University Staff Senate

3. CHANCELLOR'S APPROVAL



Chancellor's Signature

12/17/2019
Date