

The information contained in this guideline is the processes typically recommended by Human Resource Services (HRS).

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The guideline contains a compilation of current practices relating to how to proceed, these may evolve over time as the institution and its internal and external environments change. For these reasons, the University reserves the right to revise these guidelines or any of its policies or benefits or to institute new guidelines, policies and benefits provided these changes are not inconsistent with state and federal law, or to act apart from these guidelines at any time. Any such modification applies upon adoption by the University, regardless of previous provisions that may have been in effect. The most current version of this guideline is available on the HRS web site.

The laws of the state of Washington and appropriate Washington Administrative Code provisions also apply to all employees, as does the University's Business Policies and Procedures Manual. All University guidelines and policies are subject to federal and state laws, as now existing or as hereafter amended; where there is deemed to be a conflict, the provisions of law apply.

Civil Service Staff

Performance Management Review Policy

Refer to BPPM 60.55 and WAC 357-37

These guidelines are NOT applicable to Bargaining Unit Covered Staff. For appropriate procedures for Bargaining Unit Covered Staff refer to the appropriate contract

- **Executive Commitment**

As part of a positive performance based culture outlined and implemented through [Washington State University's \(WSU\) Strategic Plan](#), this Performance Management policy fosters employee competence, productivity and supports achievement of the [University's strategic plan](#). (See specific reference: Goal 1, sub goal 2, & 3; Goal 2, sub goal 1, & 2; Goal 3, sub goal 3, 4, 5, & 6; Goal 4, sub goal 1, 2, & 3.)

The Office of Human Resource Services (HRS) is responsible overseeing the performance management process. The Director of HRS will monitor and measure the success of the Performance Management system.

- **Requirements**

Job performance evaluations document employee competence and productivity, support achievement of organizational goals and objectives, and provide documentation of an employee's strengths and areas needing improvement.

Specifically, supervisors and managers must provide feedback and formally evaluate the performance of:

- (1) A probationary employee or a permanent employee serving a trial service period or transition review period before the employee attains permanent status in the position; and

(2) A permanent employee on an annual basis prior to the employee's scheduled Periodic Increment Date (PID). ([WAC 357-28-055](#))

Note: The immediate supervisor may postpone an employee's evaluation that has recently been reassigned, transferred, laid off, or demoted to their current positions until they have completed six months of service in the new department.

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

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

For information regarding performance management refer to BPPM [60.55](#) and WAC [357-37](#).

Use the standard civil service [performance evaluation form](#). Other forms and/or supplemental information may be used to support the rating.

- **Performance Factors**

Each employee is to be evaluated 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).
 - Optional factor(s) must be relevant to the job and identified as an area to be rated on at the beginning of the review period.

Performance Ratings

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

Performance Expectations

The 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 performance

expectations should be given to the employee within a reasonable time frame at the start of their appointment and at the beginning of each review period if the expectations have changed.

- **Responsibilities**

Manager/Supervisor is responsible for the following:

The manager/supervisor explains the employee's responsibility for successfully performing assigned job duties and expectations.

This includes providing the employee with a position description and performance expectations at the time of appointment. Additionally, if there are revisions to either the position description or performance expectations, copies should be given to the employee at the beginning of each review period.

The manager/supervisor assesses how well the employee has contributed to the efficiency and effectiveness in fulfilling the objectives of the department/organization and the position.

The manager/supervisor recognizes an employee's successful job performance and identifies opportunities for improvement in job performance.

The manager/supervisor is accountable for properly carrying out their 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.

Employee is responsible for the following:

The employee requests clarification of any job duty, standard, or expectation that is unclear.

The employee performs work as assigned and meets job standards and expectations.

The employee participates in the performance evaluation process.

The employee communicates with manager/supervisor and shares successes and problems so the supervisor can better measure progress and provide assistance.

- **PROCESS**

Review Period:

The review period is based on the employee's Periodic Increment Date (PID) or alternative date if mutually agreed upon.

The period of time for which the employee is being evaluated, for example, if the employee's PID date is January, the review period is the prior January – December.

Prior to the Review Period

Provide the employee with a copy of the position description and performance expectations for the position.

Human Resource Services can provide assistance with position descriptions and performance expectations. Samples of performance expectations are available at [HRS](#).

The first line supervisor and second line supervisor are responsible for knowing when their employee's evaluations are due.

During the Review Period

The manager/supervisor observes employee performance and:

Assesses how well the employee has contributed to the efficiency and effectiveness in fulfilling the objectives of the department and the performance expectations for their position.

Monitors employee progress/performance in relation to position descriptions, established performance expectations, university policies/procedures, and department guidelines.

Provides informal feedback on a continuing basis throughout the review period. This includes positive and negative feedback. If necessary, maintains informal notes of performance. Contact HRS with questions regarding appropriate documentation. Examples of informal notes are

located at the end of this guide. *Refer to BPPM 60.50 if performance issues require corrective or disciplinary action.*

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

Review previously established performance expectations. Revise performance expectations for next review period if needed.

Review current position description. Revise for next review period if needed.

Review notes relating to employee performance.

Begin completing evaluation form. Rate the employee on all applicable criteria. Rate the employee realistically. Avoid over rating or under rating the employee.

Avoid rater biases and judgmental feedback in completing and reviewing the evaluation. Consider recent events (positive or negative) with entire performance for year.

Identify specific employee goals and development for the next year.

Identify specific training courses the employee took or should have taken. Consider if training for upcoming review period should be recommended or required.

Discuss the employee's ratings with the employee's second level of supervision.

Consider and plan how you will conduct the meeting including using appropriate interview and coaching techniques.

Schedule an appropriate amount of time for the review meeting. For example, one hour.

Coordinate and schedule the meeting in advance. For example, one week in advance.

Additional options include:

Provide the employee with a copy of the evaluation prior to the meeting to allow the employee time to review the evaluation. For example, a day before the scheduled meeting.

If applicable ask for feedback from customers and clients that can be considered when completing evaluation.

Allow the employee to complete their evaluation for their performance. The employee submits their form to the first line supervisor. The first line supervisor reviews and considers the employee's input.

Ask the employee for input on current position description and performance expectations for example, do they need to be revised?

Review Meeting

The review should be given to employee during a face-to-face review meeting

The performance appraisal meeting is a private, well planned session designed to:

- Plan for the future.
- Address any performance deficiencies.
- Improve current skills.
- Expand personal/professional growth.

Beginning of meeting:

- Greet the employee
- Offer a sign of hospitality
- Start on a positive note
- Put the employee at ease
- Encourage participation by the employee
- Communicate the reasons for the meeting

During the Meeting

- Review rating system
- Review rating categories
- Discuss reasons for the ratings given
- Identify employee strengths
- Identify weaknesses; offer suggestions for improvement
- Solicit employee comments and input
- Listen

Based on the employee's input consider modification of the evaluation if appropriate.

Closing the Meeting

Summarize the meeting.

Summarize the employee's plans for improvement and growth.

Confirm that the employee understands the expectations and goals.

Arrange for a follow up session if necessary.

End the meeting on a positive note.

Provide a copy of the completed review form to the employee for comments and a signature. Specify a time frame for the review form to be returned to the supervisor. For example, return the signed evaluation form within five working days.

Remind the employee that their signature indicates they have received the evaluation, not necessarily that they approve of the evaluation.

After the employee signs the evaluation form, the supervisor should sign the review. The supervisor routes the completed evaluation form including the position description and performance expectations to the employee's second level of supervision for signature.

NOTE: An employee may add a written rebuttal to the annual review. A written rebuttal may be attached to the evaluation form OR submitted to HRS within 30 days of receipt of the signed annual review. The written rebuttal must include reference to copies being provided to the first and second level supervisor as well as the HRS personnel file.

- **Routing and Filing**

After the second level of supervision signs the evaluation form copies of all the evaluation materials, including the position description and performance expectations, should be given to:

- The Employee
- The First Line supervisor
- The HRS Personnel File

Note: To assist with confidentiality, when routing evaluation forms, seal the envelope and mark "Confidential".

- **Evaluation Retention/Access**

Employee evaluations are retained in the employee's HRS personnel file as long as it has a reasonable bearing on the employee's job performance ([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 to a supervisor who may be considering the employee for hire, including promotion, transfer, lateral movement, voluntary demotion, layoff or reassignment. Prior to accessing a personnel file, a photo I.D. is required and verification of reason for the access (if not the employee) is required. 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 request, in writing, a review by the Director of Human Resource Services to review alleged irregularities in the use of the approved performance evaluation form and/or procedures. Employees must be notified in writing of the results of the internal review.

Annual Performance Review Information and Samples

Useful and valid performance reviews require
Current and accurate job descriptions
Current and accurate performance expectations

Example of Performance Notes during review period

Performance for: _____

Evaluation period: _____

January 12

Offered to stay late and help finish report draft.

February 6

Did not notify office until 2:00 p.m. that he was sick and not coming to work. Did not follow office guidelines regarding notice.

February 14

Got out the monthly report in record time.

March 3

Rather than sending a student to two other offices for information, he called the offices and obtained the necessary information.

March 23

Dropped some paper clips into the copy machine and seriously damaged the machine.