Performance Assessment Policy
Non-Faculty Personnel

Revision approved by University Council November 12, 1998
Reviewed and approved by University Council on December 10, 2009
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1.0 PURPOSE

1.1 This policy describes the process for Performance Assessment which is established to encourage the occupational development of the university staff and provide a supportive basis for continuous learning, self-responsibility, and skill and behavior development and employee accountability. Furthermore, performance assessments will increase employee productivity and promote effective communication between the supervisor and employee.

1.2 An annual performance assessment for the most recent cycle must be on file in the Office of Human Resources for any staff employee who is recommended for a merit salary increase. Acceptable justification for a merit increase recommendation must be provided to the appropriate vice president/president by the recommending authority. Except for the requirement to have a performance assessment on file for the most recent cycle, the performance assessment will not be the sole basis for determining eligibility for a merit salary increase.

2.0 DEFINITIONS

2.1 Benefits-eligible staff employee. A benefits-eligible staff employee is one employed to work in an exempt or non-exempt staff position requiring at least 20 hours per week (50% FTE) for a continuous period of at least 4.5 months and not requiring student status as a condition of employment.

2.2 Exempt employee. An exempt employee is one paid on a monthly salaried basis and employed to work in a position classified as exempt from overtime pay regulations in accordance with the Fair Labor Standards Act (FLSA).

2.3 Non-exempt employee. A non-exempt employee is one paid on a bi-weekly basis and employed to work in a position classified as subject to (non-exempt from) the overtime pay regulations of the FLSA.

2.4 Probationary employment. The initial 6 months of employment at UHCL for each regular nonexempt staff employee is probationary. The initial 12 months of employment for each regular exempt employee is probationary. If, during probationary employment, the employee takes an approved leave of absence, the probationary period will be extended by an amount of time equal to the leave of absence. Other provisions applying to probationary employment may be found in the UHCL policy on Probationary Employment for Staff Employees.

2.5 Performance assessment forms. The forms approved by the executive director of human resources/aa, or designee, for use in the staff performance assessment process at UHCL.
2.6 Merit salary increase. A percentage or dollar increase to an employee's base salary awarded because of the quality of the employee's work performance.

2.7 Merit increase recommendation. A formal recommendation consistent with UHCL personnel, budget, or other business instructions, to increase an employee's base salary because of the quality of the employee's work performance.

3.0 POLICY

3.1 Performance assessments will be conducted for all benefits-eligible staff employees during the month of their anniversary date with the university. Employees will be monitored by their supervisors(s) during the probationary period to determine whether employment should be continued.

3.2 Performance assessments will be based only on lawful, job-related and non-discriminatory criteria. Assessments will be objective, rather than subjective, and will focus on work performance rather than personal attributes.

3.3 All regular, benefits-eligible staff employees of the University of Houston - Clear Lake who have completed their probationary period shall receive a formal performance assessment within one month of their anniversary date by their immediate supervisor(s) or the next higher level of supervisory authority. Performance assessments should be conducted on a more frequent basis if either the supervisor or employee deems it necessary to enhance the employee's professional development.

3.4 Within the first six months of appointment and prior to conducting any performance assessments, supervisors must have received initial training from the training specialist in the Office of Human Resources and thereafter, as needed. Additional training may be required if changes are made to the performance assessment document or if the assessment methods are revised.

3.5 The Office of Human Resources will be responsible for establishing training, development and guidelines to ensure performance assessments are conducted as required. This includes supervisor training and monitoring training requirements.

3.6 Staff employees supervised by more than one supervisor must be assessed by a designated supervisor directly involved with the employee's responsibilities, with appropriate written consultation with other supervisors.

3.7 Only performance assessment forms/formats that have been approved by the executive director of human resources/aa may be used in conducting performance assessments. An employing department may attach supplementary position-specific information to the completed assessment form.

3.8 Merit salary adjustments will not be approved for any employee not having a current year performance assessment in the official personnel file. Merit salary adjustments will not be approved for immediate supervisors who have not conducted current year performance assessments for their employees as required by this policy.

3.9 In accordance with SAM 02.A.26, Employee Development and Training and SAM 02.A.11 Staff Performance Appraisals, 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.

3.10 The Office of Human Resources will produce a list of personnel, and their supervisors, for whom performance assessments have not been completed. The list will be distributed to the President and Vice Presidents.
3.11 Confidentiality of the performance assessments shall be maintained to the greatest extent possible. If copies of the performance assessments 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 assessments will not be shown to other employees or supervisors, except on a business need-to-know basis, or with written consent of the employee.

3.12 Nothing in this policy will be used to discriminate against any individual or group on the basis of race, color, sex, religion, national origin, disability, age, veteran status, genetic information, or sexual orientation except where such distinction is required by law. Additionally, the System prohibits discrimination in all aspects of employment on the basis of sexual orientation, gender identity or gender expression.

4.0 PROCEDURES

4.1 The anniversary date will be determined by the start date the employee was hired at UHCL.

4.2 The Office of Human Resources will generate an annual list of staff employees and their anniversary dates for each department. This list will be provided to department heads and business coordinators at the beginning of each fiscal year. The Office of Human Resources will remind supervisors of past-due assessments and request their completion within a reasonable time after the anniversary date.

4.3 Performance assessments are not required for part-time (less than .50 FTE) and temporary employees (less than 4.5 months); however, they may be used optionally to evaluate job performance.

4.4 Prior to completing the performance assessment form, the employee and supervisor(s) will review the staff member’s written job description and reflect such review on the position description form.

4.5 The employee may submit rebuttal documentation to be attached and filed with the completed performance assessment form in the employee’s official personnel file.

4.6 The completed assessment will be forwarded to the appropriate administrator and reviewed for compliance with EEO.

4.7 Interim reviews may be conducted if either party requests to address specific problems or concerns requiring special attention. Such interim reviews will be conducted in the aforementioned manner.