

UNIVERSITY OF PITTSBURGH PROCEDURE 07-05-01

CATEGORY: PERSONNEL
SECTION: Staff Performance
SUBJECT: Performance Appraisal Program
EFFECTIVE DATE: April 19, 2013
PAGE(S): 5

I. PURPOSE

To provide the steps for conducting staff performance appraisals.

II. SCOPE

This procedure applies to all regular full-time and part-time staff included in the Staff Classification System, and their immediate supervisors. The performance appraisal program is designed as one component in an ongoing program of two-way communication between supervisors and employees and includes:

- The Annual Staff Performance Appraisal
- A three-step review process during the Provisional Period of Employment
- Special Reviews
- The Performance Improvement Plan

This procedure is subject to regular University Administrative Review.

III. DEFINITIONS

Staff Member: A current regular full-time or part-time classified University employee.

Classified: Included in the University Staff Classification System.

Provisional Period of Employment: The period during which staff members who have been hired, promoted, or transferred are given the time to learn and adjust to their new position and departmental administrators are given time to appraise the staff member's suitability for the position. The length of time is based on the job classification: three calendar months for secretarial, clerical, or technical positions; six months for professional positions. Staff members who have been involuntarily reassigned may be subject to a new provisional period.

Immediate Supervisor: The individual responsible for the ongoing monitoring of the staff member's performance, who initiates or recommends personnel action, and ensures that established personnel policies and procedures are followed.

Department Administrator: The individual responsible for planning, coordinating and directing the daily operations of a business unit or a School, including responsibility for the departmental budget.

IV. PROCEDURE

Annual Appraisals

Immediate Supervisor

1. Monitor staff member's job related performance during the given appraisal period.
2. Instruct the staff member to complete the Self-Appraisal form.

Staff Member

3. Complete the Self-Appraisal form and return to the immediate supervisor.

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| Immediate Supervisor | <ol style="list-style-type: none"> 4. Prior to June 30th, prepare a written appraisal of each staff member's job-related performance. 5. Meet with each staff member individually to discuss the evaluation. 6. Request that the staff member complete the "Employee Comments" section of the Staff Performance Appraisal form (not required). 7. Secure the signature of the staff member on the form, and sign where indicated. If needed, inform the staff member that signing the Staff Performance Appraisal form acknowledges that the staff member received the document and was present during the performance discussion meeting. The signature does not necessarily mean that the staff member agrees with the appraisal rating. 8. Provide a copy of the completed Staff Performance Appraisal to the staff member. 9. Submit completed Staff Performance Appraisal form to the Department Administrator. |
| Department Administrator | <ol style="list-style-type: none"> 10. Maintain the original signed Staff Performance Appraisal in the staff member's departmental personnel file. |

Provisional Period of Employment Steps

Step One: Overview of Job Expectations and Departmental Information

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| Immediate Supervisor | <ol style="list-style-type: none"> 1. Complete Step One Provisional Form. 2. On the staff member's first working day (no later than the first week), discuss the Step One Provisional Form with the staff member. 3. Obtain the appropriate signatures and submit the original Step One Provisional Form to the Department Administrator to place in the staff member's departmental personnel file. Also, provide a copy of the form to the staff member. |
| Department Administrator | <ol style="list-style-type: none"> 4. Maintain the original Step One Provisional Form in the staff member's departmental personnel file. |

Step Two: Provisional Mid-Point Staff Appraisal

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| Immediate Supervisor | <ol style="list-style-type: none"> 5. Monitor the staff member's performance on an ongoing basis. Alert the staff member of job behaviors that are below standard, and plan together to improve performance. |
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6. As the mid-point of the provisional period approaches (1 1/2 or 3 months), prepare a written appraisal of the staff member's job related performance by completing the Staff Performance Appraisal form and discuss with the staff member.
7. Secure the signature of the staff member on the form, and sign where indicated. If needed, inform the staff member that signing the Staff Performance Appraisal form acknowledges that the staff member received the document and was present during the performance discussion meeting. The signature does not necessarily mean that the staff member agrees with the appraisal rating.
8. Obtain the appropriate signatures and submit the original Staff Performance Appraisal form to the Department Administrator to place in the staff member's departmental personnel file. Also, provide a copy of the form to the staff member.

Department Administrator

9. Maintain the original signed Mid-Point Staff Performance Appraisal form in the staff member's departmental personnel file.

Step Three: Employment Status Determination

Immediate Supervisor

10. By the end of the provisional period of employment, a decision must be made to retain the staff member or extend the provisional period. Complete Step Three Provisional Form.
11. For cases of extension or termination, contact the Employee Relations Department in the Office of Human Resources prior to taking any action.
 - a. With prior documentation, and the approval of the Employee Relations Department in the Office of Human Resources, the provisional period may be extended up to a specific period.
12. Discuss with the staff member the decision to retain or extend the provisional period.
13. Obtain the appropriate signatures and submit the original Step Three Provisional Form to the Department Administrator to place in the staff member's departmental personnel file. Also, provide a copy of the form to the staff member.

Department Administrator

14. Maintain the original Step Three Provisional

Form in the staff member's departmental personnel file.

Special Reviews

Immediate Supervisor

1. To acknowledge special accomplishments, document performance problems, or evaluate new duties at a period of time other than the annual review or the provisional mid-point staff appraisal, complete the Staff Performance Appraisal form.

The Performance Improvement Plan

Immediate Supervisor

1. Document plans to improve the unacceptable performance of a provisional or regular staff member.
2. When a problem has been identified, the recommended procedure is to consult the Office of Employee Relations.
3. In consultation with the Employee Relations Department in the Office of Human Resources, complete a Performance Improvement Plan, and discuss it with the staff member. Provide the staff member with a copy of the completed Performance Improvement Plan.
4. Review performance as indicated and provide the necessary support.
5. If the staff member's performance improves as planned, follow the procedures for Special Reviews (above).
6. If the staff member's performance does not improve as outlined in the Performance Improvement Plan, in consultation with Employee Relations, the supervisor may begin disciplinary procedures up to and including termination.

Department Administrator

7. Maintain the original Performance Improvement Plan in the staff member's departmental file.
8. Forward a copy of the completed Performance Improvement Plan to Employee Relations in the Office of Human Resources.

V. REFERENCES

[Policy ER 11, Performance Appraisal Program](#) (formerly 07-05-01)

[Policy 07-05-01, Performance Appraisal Program](#)

[Forms and Other Tools for the Performance Appraisal Program can be found at the Office of Human Resources Website](#)