

The University of Wisconsin System
UPS OPERATIONAL POLICY: HR 5



SUBJECT: Employee Performance Management

Original Issuance Date: July 1, 2015

Last Revision Date:

1. POLICY PURPOSE:

The purpose of this policy is to provide a framework for the process that will foster continued improvement in the work performance of UW System employees and provide all employees with clear objectives, ongoing and valuable feedback, professional development, and recognition for work well done.

2. POLICY BACKGROUND:

[Wis. Stat. § 230.37](#) and [Wis. Admin. Code § ER 45.03](#) require performance evaluations for classified staff.

Effective July 1, 2015, the employee performance evaluation program described in this operational policy set forth performance management principles for all UW System employees.

3. POLICY DEFINITIONS:

Please see UPS Operational Policy [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:

All UW System employees, other than employees-in-training and student hourly employees must participate in the performance management process. The policy provides a framework for the process that is designed to foster continued improvement in the work performance of UW System employees

and serve as a component in the determination of merit-based salary adjustments for eligible employees (faculty, academic staff, university staff, and limited appointees). To implement this policy, each UW System institution must develop a performance management system that ensures:

- All supervisors are adequately trained to evaluate performance and are held accountable for providing performance evaluations;
- Employees are provided clear expectations for the work they perform;
- Employees receive ongoing information about how effectively they are meeting expectations;
- Merit increases are consistent with employee performance;
- Opportunities for employee development are identified and provided;
- Employee performance which does not meet expectations is addressed;
- Management evaluates employees in a fair and consistent manner.

A. Tenured Faculty

Each University of Wisconsin System institution must have an evaluation process, in accordance with [Wis. Admin. Code § UWS 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, Guidelines for Tenured Faculty Review and Development](#).

Each institution's evaluation process shall incorporate the use of student evaluation of instruction in accordance with [Regent Policy Document 20-2, Student Evaluation of Instruction](#).

B. Probationary Faculty

Each University of Wisconsin institution shall have an evaluation process in accordance with [Wis. Admin. Code § UWS 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, along with recommendations for performance improvement.

Each institution's evaluation process shall incorporate the use of student evaluation of instruction in accordance with [Regent Policy Document 20-2, Student Evaluation of Instruction](#).

C. Teaching Assistants

Each University of Wisconsin institution employing teaching assistants shall have a plan to establish standards for supervision and evaluation of teaching assistants pursuant to [Regent Policy Document 20-17, Selection, Training, and Evaluation of Teaching Assistants](#).

- Evaluation and supervision may be carried out at the college or departmental level, as appropriate.
- New teaching assistants must be evaluated for the purpose of teaching improvement as early in the first semester as possible.
- All teaching assistants shall be evaluated each semester.
- 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.

- Meaningful, appropriate accountability standards and procedures must be in place to ensure all operational areas employing teaching assistants are complying with institutional policies on teaching assistants.

D. Academic Staff, University Staff, and Limited Appointees

Each University of Wisconsin institution must have in place for all academic staff, university staff, and limited appointees a performance evaluation process which requires employees to be evaluated at least once a year. Supervisors may conduct additional reviews as needed. Suggested components of the performance evaluation process include the following:

- Supervisors shall clearly communicate goals and expectations for employees;
- It is advised that employees be given the opportunity to contribute to goals and expectations and provide their perceptions of their performance prior to formal completion of evaluations;
- Supervisors should use first-hand knowledge of the employee's performance, the employee's self-evaluation, and feedback from other employees with whom the employee interacts, as appropriate;
- Supervisors may consider various options (e.g., performance management systems/technology) to make the performance management process as efficient as possible;
- Supervisors are advised to meet with employees to review completed evaluations;
- Supervisors may conduct additional reviews and ongoing feedback is advised;
- An employee may not appeal a performance evaluation but may submit a written response which will be attached to the evaluation;
- Completed evaluations must be maintained per institutional policy.

E. Relationship Between Performance Management and Pay Plan Implementation

The result of the performance evaluation is a critical component in determining salary increases both as part of and outside the pay plan. Each chancellor must have in place for all employees a salary evaluation system, the results of which can be a factor to be considered for pay plan purposes. The salary review should be conducted in accordance with the performance standards outlined in Recommendation #9 of the 1992 Report of the Governor's Commission on University of Wisconsin Compensation, which states salary adjustments should be awarded primarily, if not exclusively, on the basis of merit.

For further details please see UPS Operational Policy [TC 4: 2017-19 UW System Pay Plan Distribution Guidelines for University Workforce](#).

5. RELATED DOCUMENTS:

[Regent Policy Document 20-2, Student Evaluation of Instruction](#)
[Regent Policy Document 20-9, Guidelines for Tenured Faculty Review and Development](#)
[Regent Policy Document 20-17, Selection, Training and Evaluation of Teaching Assistants](#)
Wis. Admin. Code § [UWS 3.05, Periodic Review](#)
Wis. Stat. § [230.37, Standards of performance and ratings](#)
[UPS Operational Policy TC 4, 2017-19 UW System Pay Plan Distribution Guidelines for University Workforce](#)
Wis. Admin. Code Chapter [ER 45, Employee performance evaluation](#)

6. POLICY HISTORY:

Reviewed by the Board of Regents, April 10, 2015