UNIVERSITY OF THE DISTRICT OF COLUMBIA
PERFORMANCE APPRAISAL SYSTEM

SUPERVISORY GUIDE

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I. Purpose

The President of the University of the District of Columbia has established a systematic process to improve employee effectiveness by tying the University’s strategic initiatives to performance objectives. The University of the District of Columbia Performance Appraisal System (UDCPAS) incorporates the provisions to establish accountability, to reward good performance, and to take appropriate action regarding deficient performance.

II. Overview

Generic performance standards and generic critical elements have been developed for executives, supervisors and non-supervisory employees, and are included in the Performance Management Record (PMR) (attachment 1). Supervisors must provide each employee with the approved position description and a Performance Management Record each appraisal cycle. The performance appraisal cycle will begin on September 1st of each year and continue through August 31st of the following year.

The PMR has five sections, used according to the following schedule:

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III. Performance Planning

Prior to the beginning of the appraisal period, supervisors must analyze the responsibilities assigned to his or her office. This information is needed to plan the work effort for each employee and connect that effort to expectations that meet with the strategic initiatives of the University or the work effort of the Department or work unit. Expectations are the supervisor’s descriptions of the tasks, how the finished product should look, and the methods the employee
might use to accomplish the work. Expectations are included in Section I, Performance Planning, of the PMR. Expectations may include deadlines for accomplishing tasks, with quantity and quality measures, as appropriate.

In the first year of the PAS, supervisors, with the assistance of the Office of Human Resources, must assure that each employee’s position description is accurate and has appropriate approval levels. In subsequent years, the beginning of the performance cycle is the time to determine whether adjustments need to be made to the position description.

The first step in the appraisal process is to prepare the PMR. Supervisors should give employees the opportunity to provide input to the expectations included in the PMR, although the supervisor retains final authority for the content of the PMR. After establishing the expectations, supervisors will discuss with each employee the critical elements of his or her position to assure that they

- are clearly understood by the employee and

- reflect assigned duties in the position descriptions

After assuring that performance critical elements and standards are understandable, and fair, employees and supervisors will sign the position description and Performance Plan Certification of the PMR. The position description and Performance Plan Certification needs to be signed at the beginning of each rating period by the approving supervisor, the supervisor and the employee. The approving supervisor, who is generally a level above the immediate supervisor, signs stating that the position description and Performance Management Record are accurate. The immediate supervisor signs certifying that the employee has been given a current position description and a copy of the PMR. The employee signs to acknowledge receipt of the position description and PMR. The employee’s signature does not signify agreement.

IV. Evaluating Performance: End-of-Year Accomplishments and Performance Rating

Employees are again given the opportunity to provide input to the supervisor on his or her accomplishments toward meeting the performance expectations. The input is provided in writing in Section III, End-of-Year Accomplishments. The supervisor considers the employee’s input and his or her own assessment of the
employee’s work effort before completing **Section IV of the PMR, Performance Rating.** The supervisor assigns a rating to the employee and obtains the signature of the approving official before holding a meeting with the employee to discuss the performance and final rating. This meeting is also the time for supervisors to give appropriate recognition, and take appropriate action for deficient performance.

V. **Counseling Employees: Individual Development Plan**

The supervisor may, at any point in the performance cycle, complete and share with the employee the **Section V, Individual Development Plan (IDP).** The IDP records development needs, including formal and informal training. Developmental needs may be met through skills training, suggesting improvements to the work process, arranging for a mentor, etc.

VI. **Outcomes of Performance Ratings**

The performance rating is based on work performed during the entire appraisal period, generally from September of one year through August of the following year. This rating has bearing on a number of personnel actions such as:

- granting within-grade increases, when available
- granting employee incentive awards
- determining retention in the position
- determining retention in government service

VII. **Managing Poor Performance**

When a supervisor becomes aware that one of their employees is not performing up to expectations he or she should seek advice from the Employee Relations Unit within Human Resources to determine how to assist the employee in improving performance.

**“Below Expectations”**

If the employee’s performance rating on a critical element is “Below Expectations”
- A rating of Below Expectations for any critical element results in a final rating level of “Below Expectations and requires an Individual Development Plan (IDP).

- Coach the employee personally or assign a mentor who can model the desired performance in the particular skill/job.

- If there are skills and competencies the employee lacks, identify training courses that will help the employee to meet the performance standards.

“Failed Expectations”
A rating of “Failed Expectations” for any critical element results in a final rating of “Failed Expectations” If the employee’s performance rating is “Failed Expectations” the supervisor must

- Assign a Performance Improvement Plan (PIP) with a minimum thirty-day period to improve.

- Work with the Employee Relations Unit within Human Resources to determine how to assist the employee in improving performance.

There are two possible outcomes in this case:

1. If performance improves above the “failed expectations” level, the employee may be retained in the position and the appropriate performance rating will be recorded. Provide coaching and prepare an Individual Development Plan (IDP).

2. If the employee fails to improve during the PIP, the supervisor, in consultation with the Director of Employee Relations will assign a rating of Failed Expectations and must propose one of the following actions:
   - Reassignment to another position at the same grade and pay, if such a position is available.
   - Demotion to a lower graded position with the appropriate reduction in salary or
   - Separation from the University.

The supervisor works with the Employee Relations Unit within Human Resources to document the employee’s performance and past effort to improve performance.
Within ten (10) workdays after the employee is given a rating of Failed Expectations the Supervisor with guidance from the Employee Relations Unit within Human Resources shall issue the employee a notice of proposed demotion or separation.

Employee Appeal Rights
The employee has five (5) workdays from the date of the notice of proposed demotion or separation to respond, orally or in writing, to the appropriate Vice President.

Within five (5) workdays of receipt of the employee's response the appropriate Vice President will issue a written decision on the demotion or separation.

Within five (5) workdays of receipt of the written decision of the appropriate Vice President, the employee may appeal decisions on demotion and separation to the University's Performance Action Appeals Committee (PAAC). The members of the PAAC are three senior level staff appointed by the University President.

Within five (5) workdays of the employee’s appeal, the PAAC will issue its written decision to the employee. Decisions of the PAAC shall be the final agency decision.

Demotions and separations approved by the Performance Action Appeals Committee shall be effective at the end of the next full pay period following the PAAC’s decision.

During the notice, appeal and decision period, the supervisor may, in consultation with the Director of Employee Relations, place the employee on administrative leave with pay. Such a decision will not prejudice the outcome of the employee’s appeal.

VIII. Record-keeping

A copy of the final written appraisal shall be provided to the employee.

Within thirty (30) days after the end of the performance appraisal cycle, each supervisor shall send original Performance Management Records to the University’s Office of Human Resources.

A memorandum to the Director of Employee Relations, signed by the supervisor, should transmit the PMR’s, with the names of employees sorted and listed according to rating.

There should also be a list of postponed ratings, that is, ratings withheld pending completion of a Performance Improvement Plan (PIP).