

System-wide Policy:	
HR0129 - Performance Reviews for Regular Staff Employees	
Version: 4	Effective Date: 10/01/2017

HR0129 – Performance Reviews for Regular Staff Employees

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Objective:

To provide all regular staff employees and their supervisors an opportunity to discuss the employee's job performance, set goals for professional development and establish objectives for contributing to the department's mission.

Policy:

Annual Performance Reviews

1. Annual performance reviews are a key component of employee development. Annual performance reviews are required and are designed to provide a fair assessment of an employee's job performance (outcomes and behavior). During the annual performance review, the supervisor and employee should discuss the employee's performance during the previous calendar year, job duties, performance expectations, any specific objectives to be achieved and professional development goals for the employee.

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Formal Review Process

2. Supervisors are encouraged to provide continuous feedback on employee performance through occasional meetings during the year and to update any specific objectives and the employee's professional development goals as necessary. In preparation for the formal evaluation of the previous calendar year's performance, the following should take place:
 - a. Supervisors should ask employees to complete a self-evaluation of the employee's performance.
 - b. The supervisor completes a written performance review, which may be a letter, a department-specific form or the standard Performance Review Summary Form available on the Human Resources website. Evaluation of performance should be based on the employee's performance during the review period, which is the previous calendar year. The review may include feedback and information in addition to what is specifically included on any performance review form the supervisor may use.
 - c. To ensure consistency and accuracy, the supervisor discusses the performance review with his/her immediate supervisor. (This provision does not apply to the President, Vice Presidents and other executive-level supervisors who report directly to the President, Chancellors, and Vice Chancellors.)
 - d. The supervisor schedules a meeting with the employee to discuss the written performance review and provides the employee with a copy of the performance review prior to the meeting.
 - e. The supervisor and employee meet to discuss the employee's performance during the previous calendar year, job duties, performance expectations, any specific objectives to be achieved and professional development goals for the employee.
 - f. Following the meeting, the supervisor makes any necessary adjustments to the written performance review, signs the performance review and presents it to the employee for signature. After the employee has signed the performance review, the supervisor submits it to the supervisor's

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immediate supervisor for signature (except as provided in item 3 above). After obtaining all required signatures, the supervisor provides a copy of the fully signed performance review to the employee and submits the original to Human Resources for review and entry in IRIS and for retention in the employee's personnel file. Human Resources will return to the department any performance review without all required signatures.

3. The HR website provides information, links to forms, tools and contacts for supervisors as they prepare for and deliver performance reviews:

hr.tennessee.edu/performance-recognition/

In addition, on-line training is available at: hr.tennessee.edu

Performance Review Timeline

4. The annual performance review assesses the employee's performance during the previous calendar year. The formal review process described above takes place between January and March of each year. The deadline for submitting signed performance reviews to Human Resources is March 31.

Numerical Ratings

5. Regardless of the form of the written performance review (letter, department-specific form or standard Performance Review Summary Form), an overall numerical performance rating must be assigned consistent with the numerical ratings of 5 to 25 described on the Performance Review Summary Form. In the case of multiple reviewers for one employee, all reviewers must agree on a single overall numerical performance rating for the employee.

Eligibility for an Across-the-Board Salary Increase

6. An employee will not be eligible for an across-the-board salary increase when one or both of the following circumstances exist:

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- a. The employee receives an overall performance rating of 9 or below, which shall constitute unsatisfactory performance.
 - b. The employee is currently under a written warning, final written warning, or suspension without pay and/or the employee received a disciplinary demotion in the 12 months immediately preceding the effective date of an across-the-board increase.
7. If an across-the-board increase has been denied because of disciplinary action and the supervisor determines that the disciplinary issue has been resolved and/or the employee's performance has improved sufficiently, and if funding is available, then a non-retroactive across-the-board increase can be given at any time within one year following the effective date of the across-the-board increase.

It is the supervisor's responsibility to determine eligibility for an across-the-board salary increase. The following special circumstances require review and approval by the campus/institute Human Resources Officer (HRO) and Chancellor or designee:

- a. Awarding an across-the-board increase to an employee who has an overall performance rating of 9 or below.
- b. Withholding an across-the-board increase from an employee with an overall performance rating of 10 or above, unless based on the existence of a written warning, final written warning, suspension without pay and/or a disciplinary demotion.

The campus/institute HRO must forward a list of any such approved special circumstances to the Vice President for Human Resources.

Required Performance Improvement Plan (PIP)

A written Performance Improvement Plan (PIP) is required for any employee who receives an overall performance rating of 9 or below. It is highly recommended that an employee who receives an overall performance rating of 10 to 14 be given a PIP. The

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PIP should clearly identify areas where improvement is needed, a timeline for improvement, and an explanation of how progress will be evaluated. If the employee does not demonstrate sufficient improvement as established by the PIP, disciplinary action up to and including termination may occur. Disciplinary action must be coordinated with the campus/institute HRO.

PROCEDURES:

Health Science Center:	https://uthsc.policymedical.net/policymed/home/index?ID=de47aa28-16aa-408b-9c96-cb04f232964f&
Space Institute:	http://www.utsi.edu/index.php/utsi-procedures/
Institute of Agriculture:	ag.tennessee.edu/Pages/UTIApolicies.aspx

FORMS:

- [Performance Review Summary Form](#)

Related Policies: [HR0128 - Human Resources Development](#)