**Staff Performance Management System UPPS No. 04.04.20**

 **Issue No. 13**

 **Revised Date: 04/24/2024**

 **Effective Date: 02/23/2024**

 **Next Review Date: 06/01/2027 (E3Y)**

 **Sr. Reviewer: Associate Vice**

 **President for Human Resources**

**POLICY STATEMENT**

*Texas State University is committed to promoting continuous and transparent communication between supervisors and supervises to ensure performance meets the university’s needs and supports its core values.*

**01. SCOPE**

* 1. The purpose of this policy is to establish and describe the performance management process for all regular staff and the assignment of roles and responsibilities for the phases of the process.

* 1. Each divisional vice president and the director of Athletics will be responsible for ensuring that regular administrative, unclassified, and classified staff employees complete the performance management process each year.

* 1. Human Resources will be responsible for providing training and support and communicating the deadlines for each phase of the performance management cycle to those required to participate in the process.

**02. DEFINITIONS**

02.01 Mid-Cycle Review – an informal collaborative process between the supervisor and supervisee that occurs at or near the midway point in the performance cycle that provides an opportunity to measure the supervisee’s progress against the elements of the performance plan.

02.02 [Performance Assessment](http://www.hr.txstate.edu/performance-management/resources.html) – the collaborative process between supervisor and supervisee to measure the supervisee’s performance against the elements of the performance plan.

02.03 Performance Expectation – also known as the Performance Metric. The goal, value, or both that defines quantifiable outcomes by which an individual’s performance is measured. Expectations should be established through a collaborative process between the supervisor and supervisee and should be communicated clearly and frequently.

02.04 Performance Improvement Plan (PIP) – a formal plan drafted by a supervisor to provide those with performance deficiencies to take corrective actions. PIPs may be initiated to address failures to meet specific job goals or to ameliorate behavior-related concerns.

02.05 Performance Management Cycle – the staff performance feedback process consisting of three phases (performance plan, mid-cycle review, and performance assessment) that typically spans the course of a 12-month period.

02.06 Performance Management System – system used by Texas State University to facilitate the performance management process.

02.07 Performance Plan – the document that contains the staff employee’s expectations, goals, job duties, competencies, behaviors, physical demands, and work environment. This document is developed by the supervisor in collaboration with the supervisee and is the basis for the performance assessment.

02.08 Performance Planning – the collaborative process between the supervisor and the supervisee used to identify and ensure understanding of the expectations, goals, job duties, competencies, behaviors, physical demands, and work environment measures that appear in the performance assessment.

 **03.** **PERFORMANCE MANAGEMENT PROCESS**

\*03.01 Texas State’s performance management process is intended to:

1. help ensure that work performed by Texas State staff members meets the needs of the university and supports the university’s core values;

1. create a system for measuring staff member compliance with university policies and procedures;

1. promote continuous and transparent communication between the supervisor and supervisee in all aspects of job performance;
2. offer the supervisor and the supervisee opportunities to set expectations for future performance and professional development;
3. provide the opportunity for the supervisor and supervisee to assess the staff employee’s performance from that year’s performance cycle; and
4. provide supporting documentation for pay decisions, promotions, transfers, grievances, complaints, disciplinary actions and terminations, and other appropriate personnel actions.

03.02 Texas State’s staff performance management process is conducted using an online system and is comprised of the following three-phase cycle:

a. [Performance Plan](https://www.hr.txstate.edu/performance-management/resources.html) – Each staff member is required to have a completed performance plan at the start of each performance cycle. The plan is used as the basis for measurement throughout the performance management cycle.

b. [Mid-Cycle Review](http://www.hr.txstate.edu/performance-management/resources.html) – A mid-cycle review is required for all staff members, and should be completed at or near the midpoint of the performance cycle.

c. [Performance Assessment](http://www.hr.txstate.edu/performance-management/resources.html) – Each staff member is required to have a performance assessment (also referred to as a performance review or performance appraisal) for each annual performance cycle. The staff employee annual performance assessment includes a self-assessment which should be submitted to the supervisor prior to the supervisor completing the manager’s assessment.

Guidance and training resources on completing performance plans, mid-cycle reviews, and performance assessment can be found on the [Performance Management website.](https://www.hr.txstate.edu/performance-management.html)

**04. TRANSFERS**

04.01 If an employee transfers from one department or division to another during the performance assessment phase of the cycle, the new/hiring supervisor will be responsible for completing the staff employee’s annual performance assessment.

The new/hiring supervisor should coordinate with the transferred staff employee’s previous supervisor to contribute information relative to the period during which the staff member was under their supervision.

04.02 Following the transfer, the former supervisor will no longer have access to view the former supervisee’s performance plan, mid-cycle review, or assessment in the online system.

**05.** **PERFORMANCE IMPROVEMENT PLANS AND PERFORMANCE COMMENDATIONS**

05.01 PIPs – On occasion, staff employee’s performance may fall below expectations, and the supervisor, at their discretion, may elect to create a PIP using [a Performance Improvement form](http://gato-docs.its.txstate.edu/jcr%3Ab1d98279-080a-411a-ad93-4cd1349b60eb/Performance%20Improvement%20Form_12.2017.docx). The supervisor will be required to indicate, on the [Performance Improvement form](http://gato-docs.its.txstate.edu/jcr%3Ab1d98279-080a-411a-ad93-4cd1349b60eb/Performance%20Improvement%20Form_12.2017.docx), the date for the employee’s performance re-evaluation, usually 60 or 90 days. A [Performance Improvement form](http://gato-docs.its.txstate.edu/jcr%3Ab1d98279-080a-411a-ad93-4cd1349b60eb/Performance%20Improvement%20Form_12.2017.docx) can be used at any time during the performance cycle. A PIP may be appealed in accordance with [UPPS No. 04.04.41](https://policies.txstate.edu/university-policies/04-04-41.html), Staff Employee Mediation and Grievance Policy.

When the required improvement date is reached, the supervisor will fill out the follow-up to the [Performance Improvement form](http://gato-docs.its.txstate.edu/jcr%3Ab1d98279-080a-411a-ad93-4cd1349b60eb/Performance%20Improvement%20Form_12.2017.docx).

A copy of the PIP and any supplemental documents will be placed in the staff member’s Human Resource personnel file for the appropriate retention period in accordance with the university’s record retention rules ([PER270 – Employee / Personnel Corrective Action Documentation](https://alkek.library.txstate.edu/scripts/rrs/index.php?tsus=&series=PER270)).

05.02 Performance Commendation – If, during the course of the performance assessment cycle, the staff employee performs in an outstanding manner and the supervisor wishes to recognize the performance, the supervisor may submit a [Performance Commendation form](http://gato-docs.its.txstate.edu/jcr%3Aeed2677d-23af-4548-9075-1b7baa3592de/Performance%20Commendation%20Form_12.2017.docx). This form should be placed in the personnel file and attached to the staff employee’s record in the online performance management system, and retained in accordance with university’s record retention rules ([PER450 – Employee Recognition Records](https://alkek.library.txstate.edu/scripts/rrs/index.php?tsus=&series=PER450)).

**06. PROCEDURES FOR APPEAL OF PERFORMANCE ASSESSMENT**

06.01 Once the supervisor and the staff employee acknowledge the [performance assessment](http://www.hr.txstate.edu/performance-management/resources.html), it is final and only the appeal process can alter the review results. Should a supervisee refuse to acknowledge the performance assessment, the supervisor should notate the record that they refused to acknowledge. The supervisor should contact Human Resources to move the performance assessment to a completed status in the workflow.

06.02 Appeals of performance assessments will follow the procedures described in [UPPS No. 04.04.41](https://policies.txstate.edu/university-policies/04-04-41.html), Staff Employee Mediation and Grievance Policy.

**07.** **REVIEWERS OF THIS UPPS**

07.01 Reviewers of this UPPS include the following:

Position Date

Associate Vice President for Human June 1 E3Y

Resources

Chair, Staff Council June 1 E3Y

**08.** **CERTIFICATION STATEMENT**

This UPPS has been approved by the following individuals in their official capacities and represents Texas State policy and procedure from the date of this document until superseded.

Associate Vice President for Human Resources; senior reviewer of this UPPS

Executive Vice President for Operations and Chief Financial Officer

President