

PERFORMANCE APPRAISAL FOR STAFF AND ADMINISTRATIVE EMPLOYEES

POLICY STATEMENT

This policy is intended to provide a consistent mechanism for appraising the performance of staff and administrators at Chapman University.

REASON FOR THE POLICY

Performance appraisals provide evidence which informs the distribution of merit increases.

POLICY

This policy applies to staff and administrative employees who have achieved "regular employment status" and who occupy positions other than "temporary".

Performance Appraisals have the following objectives:

- 1) Encourage continuing supervisor-employee communications about job-related and professional matters. Forms of communication include coaching, counseling, training, and feedback on job performance.
- 2) Provide a means whereby the supervisor and employee may establish workplace goals and objectives.
- 3) Provide guidance for employees on professional and job development.
- 4) Provide a means for supervisors to recommend employees' salary increases based on merit and job accomplishments.

Performance appraisals shall be conducted using appraisal instruments approved by the University.

All supervisors and employees are required to participate in the appraisal process at least annually. Salary merit increases may occur only after the completion of the performance appraisal process.

Under certain circumstances performance appraisals may be withheld for an employee who will be leaving the University near the effective date of the performance appraisal. The supervisor should discuss the situation with the Human Resources Department.

The annual performance appraisal cycle, as described below, normally begins each September and ends each August. An alternate cycle may be approved by the Human Resources Department at the request of the appropriate Vice President or Dean. A supervisor may conduct a single performance appraisal whenever such appraisal would foster communications.

Responsibilities

Deans and Directors:

- 1) Insure that supervisors provide a performance appraisal at least annually to staff and administrative employees under their supervision, in accordance with University guidelines and procedures.
- 2) Insure that supervisors are trained properly in performance appraisal techniques, including goal-setting, participatory management, coaching and counseling.

The Human Resources Department:

- 1) Provides guidance and training for supervisors, especially in the methods of employee motivation, team building, conflict resolution and coaching/counseling. Training also will be provided on the use of the University's performance appraisal instruments.
- 2) Coordinates the administration of the performance appraisal program.

Vice Presidents and Deans

- 1) Insure that each employee receives a performance appraisal at least annually.
- 2) Forward all performance appraisal forms to the Human Resources Department where they will be filed in the employee's personnel records.

Use of the Performance Appraisal In Awarding Merit Pay Increases

- 1) If funds are made available for merit increases, the supervisor's performance appraisal (ratings and comments) will be used to determine merit increases (i.e., determine whether or not merit pay increases are justified and if so, the amount of the increase).
- 2) Merit increases generally are effective on January 1 of the years in which funds are made available. Employees who are hired or receive a pay increase on or after the September 1 date that immediately precedes a January 1 merit date, will not be eligible to receive a merit pay increase on that January 1 date.
- 3) Rules and guidelines for applying the appraisal ratings to the merit increase will be approved annually by the Vice President of Human Resources and issued by the Human Resources Department.

OFFICE RESPONSIBLE FOR POLICY

Human Resources

Contact information for questions about this policy:

Michael Nee, nee@chapman.edu , (714) 997-6924

WEBSITE ADDRESS FOR THIS POLICY

https://www.chapman.edu/faculty-staff/human-resources/_files/policies/performance-appraisal-policy.pdf

PUBLICATION DATES

Effective: (Date of publication)

This policy was published in June 1998 as part of the Staff and Administrative Handbook, sections of which were amended in March 2017. In March 2021 the sections of the handbook were separated into policies, with no substantive change in content.

RELATED MATERIALS

Please refer to the Performance Appraisal information on the HR website at <https://www.chapman.edu/faculty-staff/human-resources/performance-appraisal/index.aspx>

IMPLEMENTING PROCEDURES – PERFORMANCE APPRAISAL FOR STAFF AND ADMINISTRATIVE EMPLOYEES

Setting employee goals, objectives, and standards

1. At the beginning of the appraisal cycle, supervisor and employee meet to discuss and establish employee goals, objectives and standards.
2. Employee goals, objectives and standards are to be based on the supervisor's expectations and by the duties and responsibilities outlined in the employee's position description.
3. In order to be useful as management and developmental tools, the goals, objectives and standards should be measurable and reasonable.
4. At least one goal or objective should be "developmental," that is, prescribe a course of instruction, workshop, conference or similar event, where the employee may obtain knowledge or skills directly related to the "task"-oriented goals and objectives.

Participating in periodic employee coaching and counseling sessions

1. After the initial setting of goals and objectives at the beginning of the appraisal period, the supervisor and employee meet periodically (e.g., weekly, bi-weekly, monthly) throughout the appraisal period to review progress and discuss problems which the employee may be having in achieving the goals, objectives and standards.
2. At these sessions the supervisor, with input from the employee, also may re-establish the goals, objectives and standards if changing job conditions, workloads or other circumstances so warrant.

Conducting the Performance Appraisal

1. At the end of the appraisal period, the supervisor will ask the employee to complete the employee's self-appraisal portions of the appraisal form. The supervisor in turn will complete the supervisor's portions of the form.
2. Supervisor and employee then will meet to review and discuss the appraisals, the respective "ratings", the employee's accomplishments and any problems the employee has experienced in achieving the goals and objectives established at the beginning of the appraisal period.
3. The supervisor will coach or counsel the employee on performance enhancement or improvement techniques, especially if performance problems have occurred during the reporting period. Several meetings may be needed to reach mutual understanding and, if possible, agreement.

4. The supervisor and employee will re-initiate the appraisal cycle by mutually discussing goals, objectives and standards for the coming year.
5. The supervisor and employee then will sign the appraisal form. The supervisor will provide the employee with a copy of the form and forward the original to the Vice Presidents or Dean as appropriate. Both the employee's and supervisor's ratings and comments must be forwarded.