

**EFFECTIVE DATE:** July 1, 2004

**SUPERCEDES:**

**I. POLICY**

By statute, state employees must receive a formal performance review each year. Policy 014 defines the process for completing reviews in the Department of Administration and outlines the expectations for supervisors and managers according to the review cycle.

**II. SCOPE**

This policy applies to all supervisors and managers. Reviews must be completed for all classified employees and statutory and temporary unclassified employees within the department.

**III. GENERAL PROVISIONS**

*Types of Reviews*

In addition to yearly reviews, supervisors and managers must complete a mid-probationary and a certification review for all probationary employees. The **mid-probationary review** should be done at approximately the mid-point of the certification period; the **certification review** must be completed at least a week prior to the certification date. Employees who are not going to be certified must be notified *before* the certification date; two weeks notification is preferred.

*Denial of Step Increases*

Denial of step increases must be given prior to the performance review due date. Denials should be done in memo form and a copy sent to Human Resources *before* the performance review date; two weeks notification is preferred.

*Appraisal Forms*

Appraisal forms for MAPE, MMA, Managers, and Commissioner's Plan are on the Human Resources website. Use the MAPE form for MGEC employees. Division forms or goldenrod forms may be used for AFSCME employees.

**IV. PERFORMANCE APPRAISAL PROCEDURES**

- A. Performance management is an ongoing, daily responsibility. Supervisors and managers should discuss performance issues with employees as successes and problems arise. These discussions and other employment discussions should be documented in supervisors' and managers' files..
- B. On July 1 of each year, a list of performance review dates by work unit will be posted on the Human Resources website to aid supervisors and managers in keeping track of due dates. Every three months the website

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will be updated. The website does not indicate whether or not the reviews have been completed.

- C. *Starting July 1, 2004*, supervisors and managers who do not complete their employees' performance reviews will **not** receive their own performance increases until their reviews are completed. **There will be no back pay awarded.**
- D. *Starting July 1, 2005*, managers will not receive their increases unless all of their subordinate supervisors and managers have completed their performance reviews. Completion is defined as:
  - o A current, complete, and signed performance review is on file in Human Resources with the employee's, the supervisor's, and the supervisor's manager's signatures on the form. An appraisal meeting has taken place with the employee and the employee has been given a copy of the review.
- E. Reviews must contain comments on duties that are rated unsatisfactory, provisional, commendable, or outstanding.
- F. Supervisors and managers who are not able to complete performance reviews for reasons beyond their control, e.g., leave of absence of the employee, may request a change in the due date for the performance review. These adjusted schedules will be granted on occasion and will usually be because of an employee issue rather than the general work schedule of the supervisor or manager.
- G. Managers' and supervisors' **own performance ratings will be at least 25% dependent upon the responsibilities of the managers and supervisors to:**
  - 1. Oversee the performance review cycle and maintain current performance reviews for all employees;
  - 2. Ensure non-certifications are supported by thorough and timely documentation and feedback.
  - 3. Address employee attendance issues as it affects performance. Reports are available in HR upon request.

## V. RESPONSIBILITIES

### A. Managers and Supervisors

- 1. Write performance appraisals and submit to manager for review and signature.
- 2. Supervisors whose employees leave the work unit within a month of the performance review date must complete the performance review and forward it to the new supervisor.
- 3. Discuss review with employee and ask for signature on the form. If the employee does not wish to sign, either make corrections or

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additions and secure signature or submit the form as is with the notation the employee chose not to sign.

4. Submit forms to Human Resources. Keep a copy for your file.
5. Managers – Monitor performance reviews of subordinate supervisors and/or managers for completion. Incorporate performance review, documentation, and attendance issues into the assessment of subordinate supervisors and/or managers.

**B. Human Resources**

1. Post performance review dates for all employees on the HR website on July 1<sup>st</sup> and every three months thereafter.
2. Maintain data on reviews received.
3. Notify supervisors and managers that increases will be withheld.
4. Compile data on performance review completion at the end of each quarter and report to division directors and the Commissioner.

Other Information:

43A.20 – Performance Appraisal and Pay