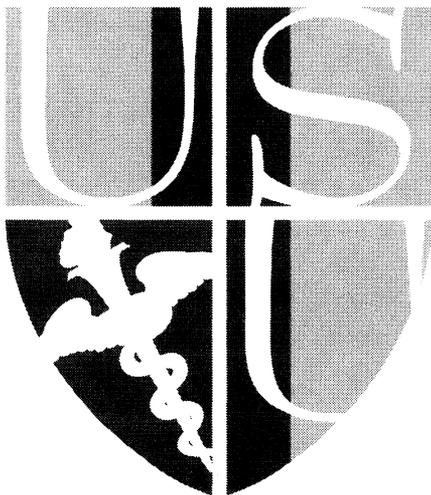


**USUHS  
INSTRUCTION  
1423**

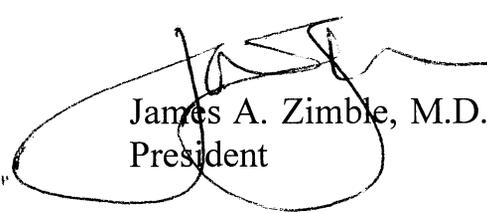




USUHS



## DIRECTIVE SYSTEM TRANSMITTAL

NUMBER USUHS I-1423 (CHR) Ch-1	DATE MAR 24 1999
ATTACHMENTS None	
<p style="text-align: center;">INSTRUCTIONS FOR RECIPIENTS</p> <p>The following change to USUHS Instruction 1423, "Faculty Performance Management System," dated October 29, 1993 has been authorized.</p> <p><b><u>Pen Change</u></b></p> <p><b>REFERENCES</b> page, reference (f), change to: <b>"Appointments, Promotion, and Tenure of Faculty, dated December 14, 1998."</b></p> <p><b><u>Effective Date</u></b></p> <p>This change is effective immediately.</p> <div style="text-align: center;"> James A. Zimble, M.D. President</div>	



# UNIFORMED SERVICES UNIVERSITY OF THE HEALTH SCIENCES



## SUBJECT: Faculty Performance Management System

### Instruction 1423

OCT 29 1993

(CHR)

#### ABSTRACT

This Instruction provides policy guidance for the implementation of a performance management system for Uniformed Services University of the Health Sciences (USUHS) faculty and staff members.

**A. Reissuance and Purpose.** This reissues USUHS Instruction 1423<sup>a</sup> and is in accordance with applicable Federal law<sup>b</sup> and Office of Personnel Management regulations<sup>c,d</sup>. This Instruction is similar in nature to the USUHS Instruction governing non-faculty positions<sup>e</sup>, and describes the USUHS procedures for the operation of the faculty performance system. This Instruction does not impact on, or supersede any of the policies and procedures listed in USUHS Instruction 1100<sup>f</sup>, but the ratings resulting from using this Instruction may provide additional information to assist Deans, Chairpersons, and the Committee on Appointments, Promotions and Tenure (CAPT) in making decisions on promotion and tenure.

**B. References.** *See Enclosure 1.*

**C. Applicability.** This Instruction applies to all USUHS civilian employees whose pay plans are Administratively Determined (AD). This includes all faculty members, Senior Research Associates, Research Associates, Postdoctoral Fellows, and Visiting Scientists. This plan does not cover AD employees whose work schedules are not expected to exceed 120 days in a 12 month period.

**D. Policy.** This Instruction follows the scope and the intent of the pay for performance principles as described in reference (e). The procedures outlined also generally follow those described in USUHS Instruction 1436<sup>e</sup>; however, they differ as to specific procedural requirements.

### **E. Procedures.**

1. The performance cycle for employees covered by this Instruction is June 1 of a given calendar year through May 31 of the next calendar year. The minimum appraisal period is 90 calendar days.

2. The employee will be rated based upon performance goals and objectives. Those goals and objectives which are critical to the overall efficiency and effectiveness of the function will be so noted. The supervisor will meet with the employee to discuss the goals and objectives. Those goals and objectives will be finalized and transcribed onto USUHS Form 1423 (*Enclosure 2*). Both the employee and the supervisor will sign and date the form.

3. During the rating period, the supervisor and the employee must have at least one progress review meeting to discuss how well the employee is achieving his/her goals and objectives. Any changes or modifications of the goals/objectives for the rating cycle will be noted on USUHS Form 1423. It is not recommended that any changes be made to the goals and objectives during the last 90 days of the rating period.

4. Upon completion of the rating period, the employee will be asked to complete and submit to his/her supervisor, an annual accomplishment report which provides an outline of significant contributions the employee has made or goals that have been achieved during the rating period.

5. The supervisor will then evaluate the employee's success in meeting his/her goals/objectives and will rate the employee's degree of success in the various functions to which he/she is assigned.

6. The supervisor will enter the proposed ratings for the various functions to which the employee is assigned, e.g., teaching, research, administrative assignments, etc., on USUHS Form 1423.

7. The supervisor will discuss the proposed element ratings with the employee, who will then sign at the bottom of USUHS Form 1423, indicating that the supervisor has discussed the ratings with him/her. The employee may make comments on the rating form.

8. Normally, ratings for all critical elements must be at a particular level or higher for the employee to receive a summary rating at that level, i.e.,

all functional elements must be rated Outstanding to receive a summary rating of Outstanding. If different ratings are assigned to individual elements, the summary rating cannot be higher than the lowest rating given for any critical element. However, when the employee's accomplishments in one or more job functions exceeds the goals and objectives to a significant degree, the supervisor may submit written justification for assigning a summary rating that is higher than the lowest rating assigned to any individual critical element.

9. The immediate supervisor (rating supervisor) will submit the ratings to the second level supervisor (reviewing supervisor) for review and approval at which time they will become ratings of record. The review and approval of a rating by the reviewing supervisor will constitute the final approval of a rating. The Dean, School of Medicine may delegate final approval authority to department Chairpersons.

10. Upon completion of the rating and review process, the immediate supervisor will provide a copy of the final rating to the employee and will forward the completed USUHS Form 1423 to the Civilian Human

Resource Directorate (CHR).

11. Performance Recognition. Performance recognition for higher levels of achievement by faculty and staff members is displayed in many ways, the most visible being performance awards, merit increases, recognition bonuses, and, for those employees in the tenure track, consideration for tenure. Policies governing faculty performance awards and tenure are covered in USUHS Instructions 1100<sup>f</sup>, 1412<sup>g</sup> and 1432<sup>h</sup>.

#### **F. Responsibilities.**

1. The President, USUHS shall:
  - a. Rate AD employees directly supervised by the President.
  - b. Approve/disapprove all merit increases and recognition bonuses in excess of 5% of base salary (authority may be delegated to the Dean, School of Medicine).
2. The Deans of USUHS schools shall:
  - a. Rate AD employees under their supervision.
  - b. Recommend merit increases and recognition bonuses for those AD employees whom he/she directly supervises to the President for approval.
  - c. Review recommendations for merit increases and recognition

bonuses for faculty and staff members and approve or make appropriate recommendations to the President.

d. Fulfill approval authorities delegated by the President.

3. The Director, CHR shall:

a. Manage the faculty performance management system and ensure that it meets the requirements of references (b), (c) and (d).

b. Receive completed faculty ratings of record.

c. Ensure that final performance ratings are entered in the civilian personnel database and filed in the employee's Official Personnel Folder.

d. Receive nominations for merit increases, performance awards or superior accomplishment awards and transmit award nominations to the appropriate approving authority for approval/disapproval.

e. Effect personnel actions for approved award recommendations.

f. Process all approved pay adjustment actions.

4. Rating Supervisors shall:

a. Work with the employee to develop a set of goals and objectives for the rating period.

b. Provide subordinate employees with a copy of USUHS Form 1423 and ensure that they

describe their goals and objectives.

c. Meet with the employee at least once during the rating period to discuss progress in meeting his/her goals.

d. Request that employees list the accomplishments and goals they have met during the rating period.

e. Evaluate subordinate employees' success in meeting their goals/objectives.

f. Rate employees covered by this Instruction using USUHS Form 1423.

g. Forward completed ratings to the reviewing supervisor for approval/disapproval.

h. Submit approved ratings to the CHR.

i. Recommend employees for Performance Awards, merit increases or Superior Accomplishment Awards, if appropriate.

5. Reviewing officials shall:

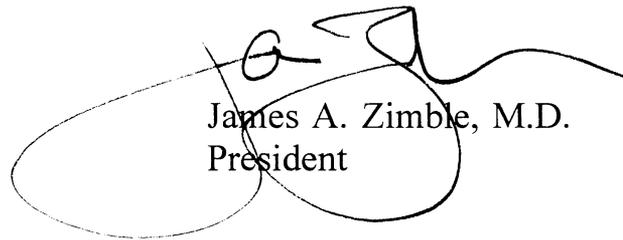
a. Review ratings completed by subordinate supervisors and approve/disapprove them.

b. Discuss any questionable ratings with subordinate supervisors.

c. Review all recommendations for recognition bonuses and merit increases submitted by rating supervisors, ensuring adequate departmental funding for recommended bonuses or adjustments, approve/disapprove the

recommendation, and forward award nominations to CHR on a Request for Personnel Action (SF-52).

**G. EFFECTIVE DATE.** This Instruction is effective immediately.



James A. Zimble, M.D.  
President

Enclosures:

1. References
2. USUHS Form 1423



**REFERENCES**

- (a) USUHS Instruction 1423, "Faculty Performance Management System," September 1, 1988 (hereby cancelled)
- (b) Chapters 43 and 45 of Title 5, United States Code
- (c) Title 5, Code of Federal Regulations, Part 430, "Performance Management," current edition
- (d) Title 5, Code of Federal Regulations, Part 451, "Incentive Awards," current edition
- (e) USUHS Instruction 1436, "USUHS Performance Management System," May 28, 1993
- (f) USUHS Instruction 1100, "Policies and Procedures for Appointment, Promotion, and Tenure of the USUHS School of Medicine Faculty," June 19, 1981
- (g) USUHS Instruction 1412, "Pay Policy for Administratively Determined (AD) Employees," April 26, 1993
- (h) USUHS Instruction 1432, "Incentive Awards Program," October 19, 1983

**USUHS Instruction 1423: Faculty Performance Management System, 10/93**



UNIFORMED SERVICES UNIVERSITY  
ANNUAL PERFORMANCE EVALUATION  
FOR FULL/PART-TIME FACULTY  
(TENURED, TENURE TRACK AND NON-TENURE TRACK)  
RATING PERIOD 1 JUNE - 31 MAY

NAME: \_\_\_\_\_ TITLE: \_\_\_\_\_ DEPT.: \_\_\_\_\_

MAJOR ACTIVITY	ACTIVITY RATED	CRITICAL ELEMENT	% OF TIME	PERFORMANCE EVALUATION		
				(CHECK AS APPROPRIATE)	O	FS
TEACHING						
RESEARCH						
PUBLICATIONS						
DEPARTMENTAL, MEDICAL SCHOOL, OR UNIVERSITY ADMINISTRATIVE ACTIVITIES						
PATIENT CARE						
OUTSIDE SERVICES						
PERSONAL ADVANCEMENT						

SUPERVISORY EVALUATION AND SUMMARY RATING:

EMPLOYEE COMMENTS:

RATER: \_\_\_\_\_ DATE: \_\_\_\_\_

REVIEWER: \_\_\_\_\_ DATE: \_\_\_\_\_

FACULTY MEMBER: \_\_\_\_\_ DATE: \_\_\_\_\_