I. SCOPE

This policy applies to all salaried Professionals and Professional Faculty ("employees") of the College of William and Mary, including the Virginia Institute of Marine Science (the "College").

II. PURPOSE

This policy establishes procedures for evaluating employees' performance and communicating performance expectations.

III. POLICY STATEMENT

This policy establishes a system for: (1) setting performance goals and objectives as well as career development goals; (2) monitoring employee progress, providing constructive feedback and evaluating performance; and (3) aligning performance plans with the College's and units' strategic plan to the extent practical. It fosters open communication between, and the active participation of, managers and employees in the process.

IV. DEFINITIONS

Achievement Levels: Categories for rating the level of an employee's performance. There are five achievement levels:

Exceptional – Work is characterized by sustained exemplary performance throughout the rating period and excellent service in support of the mission of the unit. The employee's performance consistently exceeds and sometimes far exceeds expectations in the performance of the core responsibilities; consistently demonstrates independent initiative for the benefit of the College and unit; and demonstrates full mastery of basic competencies.

High – Work is characterized by a consistently high level of accomplishment; meeting and often exceeding expectations in the performance of core responsibilities; provides significant service in support of the mission of the unit. The employee typically demonstrates high proficiency in the mastery of basic competencies.

Satisfactory – Work is characterized by achieving results at a level that generally meets and occasionally exceeds expectations in the performance of core responsibilities; supports the mission of the unit. The employee typically demonstrates proficiency in the basic competencies.

Fair – Work does not meet all performance objectives, requires improvement in one or more areas to satisfactorily perform core responsibilities. The employee has not demonstrated proficiency in one or more basic competencies.
Unsatisfactory – Work falls to meet the expectations for the position; generally falling well below performance objectives for core responsibilities (even though sometimes approaching objectives); provides inadequate support to the mission of the unit. The employee does not demonstrate proficiency in all the basic competencies.

Annual Goals: The performance objectives and supervisor’s expectations for a satisfactory annual performance by an employee.

Basic Competencies: The knowledge, skills and abilities that an individual applies when performing a job. These are broad competencies that transcend the duties of a particular position but influence the level of an employee’s achievement. The following descriptions of the basic competencies are indicative of a proficient employee:

- **Job Knowledge and Professional Development** – Employee is technically and professionally skilled in all position responsibilities and duties, and seeks new skills and opportunities for professional development.
- **Leadership Skills and Development of Others** – Employee displays initiative, motivates subordinates or others, fosters teamwork, and develops high professional goals and objectives and appropriate deadlines.
- **Problem Solving and Decision Making** – Employee gives reasonable consideration to all facets of issues that arise, gathers and analyzes appropriate information, seeks input and feedback from others, and makes timely decisions. Communicates decisions to all affected parties and resolves conflict in a positive manner.
- **Relationship Building** – Employee maintains healthy working relationships; is a team player; and listens and accords respect to other points of view.
- **Communication Skills** – Employee is skilled in oral and written communication, and demonstrates effective interpersonal communication with subordinates, peers and supervisors.
- **Organizational Citizenship** – Employee helps others, understands and follows organizational policies and procedures and supports organizational objectives.

Core Responsibilities: Duties that are primary and essential to the work performed and represent the most important functions or duties of the position.

Interim Performance Evaluation: A discussion of an employee’s performance completed during the performance year that informs the employee of his or her progress toward achieving annual goals.

Performance Evaluation: The formal evaluation that determines an employee’s achievement level and the extent to which an employee’s performance meets his or her annual goals.

Performance Plan: The document that contains an employee’s annual goals and development plan.
Performance Year: Annual cycle for evaluating employees' performance and establishing annual goals for the next performance year. The year typically begins on July 1 of one year and ends on June 30 of the following year for the majority of professionals. Supervisors of employees with specified term contracts or whose jobs are cyclical in nature may establish a more appropriate performance year.

Personnel File: For the purposes of this policy, a file consisting of employment-related or personal information gathered by the College that relates to salary, benefits, performance evaluation, disciplinary actions, promotions, demotions, transfers, leave, or termination. Official personnel files are housed and maintained in a consistent manner as determined by the Provost.

Position Description: A document that describes in broad terms the core responsibilities, required qualifications and the reporting relationship of the position. Position descriptions do not detail all tasks required to fulfill the core responsibilities, and are not necessarily unique to a specific employee.

Reviewer: The management employee to whom the supervisor directly reports.

Supervisor: The immediate supervisor of the employee who is being evaluated.

Supervisor's File: The supervisor may keep a confidential file for each employee. This file may be used to compile any notes, memoranda, work samples and interim performance evaluation documents related to that specific employee's annual performance evaluation.

Unit: Any school, institute, or academic or administrative department, program or office of the College.

V. ROLES AND RESPONSIBILITIES

A. Employee

- Participates with supervisor in the development of annual goals and professional development goals and makes suggestions for revising goals as necessary during the performance year;
- Has a clear understanding of supervisor's expectations and requests clarification if necessary;
- Manages own performance to achieve annual goals, bringing to supervisor's attention circumstances that may affect their achievement;
- Seeks performance feedback from supervisor as well as internal and external customers;
- Fully participates in performance discussions; and
- Addresses aspects of performance identified as needing improvement.
B. Supervisor

- Seeks input from employee regarding individual annual goals and professional development goals;
- Communicates and documents each employee's performance plan;
- Monitors employee performance during the performance year and communicates with employee on an ongoing basis about performance;
- Holds at least one interim discussion about performance with each employee; documents the discussion when appropriate;
- Addresses instances of poor performance or other significant performance issues in a timely manner;
- If appropriate, seeks feedback concerning employee performance from internal and external sources including external peers, team members, coworkers, suppliers, or others;
- Assists employees whose performance has been identified as needing improvement in one or more aspects to make the necessary improvement;
- Prepares annual performance evaluations, ensuring that all significant performance issues are documented; and
- Meets with employees individually to discuss their evaluations and development needs.

C. Vice President, Dean, Director, and Department Head

- Provide for the training needed to increase supervisors' effectiveness in performance management and evaluation; and
- Ensure that all supervisors are knowledgeable about the processes and requirements of this policy and abide by it.

D. Provost and Human Resources

- Ensure that the College's senior management is knowledgeable about the processes and requirements of this policy and abide by it;
- Support employees and their supervisors in the performance management process; and
- Maintain files and records.

VI. PERFORMANCE PLANNING

In order to accommodate the many and various types of positions in this category of employee, this process is designed to provide latitude to supervisors in selecting the method of performance planning, evaluation and documentation most appropriate for a position.
Title: Performance Planning and Evaluation Policy for Professionals and Professional Faculty

A. Planning

At the beginning of the performance year, the supervisor, with input from the employee, will develop specific annual goals and establish/review the employee’s development goals. The supervisor will also review the employee's position description for accuracy. While based on the employee's position description and the goals of the unit, annual goals will reflect specific needs of the unit for the coming year including those arising from the College’s or unit’s strategic plan. The goals should be prioritized.

While the plan will establish the goals, objectives and performance necessary to achieve the satisfactory level, supervisors and employees are encouraged to discuss the opportunity and effort needed to achieve higher performance levels.

Supervisors will establish a performance plan for the upcoming year within 30 days of the new performance year and will meet individually with each employee to discuss the final performance plan and give the employee a copy of his or her plan. If an issue remains between the supervisor and employee concerning the plan, the issue should be resolved by the reviewer.

A performance plan for new employees must be established within 30 days of their start date. For employees whose start date is after March 1 of a given performance year, a performance plan will be established for the next performance year.

B. Methods

The supervisor will also inform the employee at the beginning of the performance year of the primary methods or bases the supervisor will use in evaluating the employee's performance for the upcoming year, for example supervisory evaluations, peer-to-peer evaluations, "360-degree reviews," or self-evaluations.

C. Documentation

Supervisors have latitude to determine the manner in which the various elements of the annual planning and evaluation process are completed and documented. However, while flexibility is available, there is a minimum requirement that supervisors verify performance evaluation has been done by completing a cover form. (See Attachment A)

VII. DURING THE PERFORMANCE YEAR

The supervisor may document an employee's performance throughout the performance year as needed. Documentation will be maintained in a confidential supervisor's file, which can be accessed by the employee. If during
the year, the employee is not performing as expected, the supervisor may conduct an interim performance evaluation and implement an improvement plan. (See Appointments and Terminations policy)

Documentation may include, but is not limited to:
- interim performance evaluations (samples attached);
- memoranda relating to employees' performance or behavior;
- work samples;
- informal notes; and
- feedback from colleagues and others with whom the person has professional contact.

If, during the performance year, there are significant changes to the employee's core responsibilities, the employee and supervisor will jointly revise and initial the changes to the performance plan.

If the supervisor changes during the performance period, the departing supervisor will complete a written interim performance evaluation of the employee.

VIII. PERFORMANCE EVALUATION

A. Schedule

Employee performance is formally evaluated at the end of each performance year as directed by the Provost. The typical performance year is from July 1 to June 30, but the Provost may establish an alternate performance year if it is more suitable to the nature of the position. Employees who began work after March 1 of a performance year will not receive a formal performance evaluation for that performance year.

B. Process and Documentation

As long as the common cover form is completed, supervisors may determine the most appropriate method(s) of documenting the evaluation process. In addition, as a part of the year-end performance evaluation, the supervisor will provide the employee with an opportunity to complete a self-assessment based on his or her performance plan. Sample methods of evaluation are available through the Office of Human Resources.

The supervisor will provide the chosen performance evaluation documentation for review and approval by the reviewer. The reviewer is responsible for ensuring consistent and appropriate application of the evaluation process and for ensuring that the documents are included in the employee's official personnel file.

The supervisor will give the employee a copy of the final performance evaluation prior to meeting individually with the employee to discuss it.
Employees who are performing at a Fair achievement level will be provided guidance and training to improve performance.

To encourage performance improvement, an employee who are performing at an Unsatisfactory level will be given a performance improvement plan and re-evaluated in three months to determine whether performance has improved. Employees whose performance continues to be unsatisfactory at the end of the re-evaluation period are subject to termination for cause; see Appointments and Termination for Professionals and Professional Faculty.

IX. APPEALING PERFORMANCE EVALUATIONS

An employee who disagrees with his or her performance evaluation should discuss the issue with his or her supervisor and, within ten (10) business days of having received the evaluation, may request that it be reconsidered. The supervisor may decline to reconsider the evaluation, or may reconsider it and either affirm or revise the original evaluation. This action must be taken within ten (10) business days of the employee’s request for reconsideration.

If the issue cannot be resolved with the supervisor, the employee may, within ten (10) business days of receiving the supervisor’s response, file a written appeal with the reviewer.

The reviewer will discuss the appeal with the employee and the supervisor. Within ten (10) business days of receiving the appeal, the reviewer must respond in writing to the employee. The response should indicate one of the following results:
- the reviewer agrees with the supervisor’s appraisal of the employee’s performance; or
- the supervisor will revise the evaluation or complete a new evaluation.

The reviewer’s decision is final with regard to the performance evaluation; however, employees alleging policy violations have access to the procedures provided in the Professional and Professional Faculty Grievance Procedure.

Deadlines described above may be extended to accommodate vacations or other absences or other reasonable delays.

X. GUIDELINES FOR SALARY INCREASES FOR ELIGIBLE EMPLOYEES

The evaluation of employees’ performance is the basis for merit increases for eligible employees. (See College Compensation Policy.) Performance can be recognized and rewarded with a base salary increase or a one-time performance bonus. In order to ensure consistency and accuracy when determining salary increases, the Provost, Vice Presidents, and Deans will discuss with their direct reports how to apply the guidelines for merit increases throughout their units including the maximum percentage of increases within the budget allocations provided. This discussion must take place prior to the completion of the performance evaluation and the supervisor's discussion with the employee. Under the Compensation Policy, the final approval of recommended merit increases rests with the responsible Vice President, Dean, or Provost.
Pursuant to the College’s Compensation Policy, employees who are performing at a Fair or Satisfactory achievement level may be eligible for a market increase only. Employees who performing at an Unsatisfactory level will not receive a merit or market salary increase. (See Compensation Policy)

Employees hired after March 1 of a performance year are not eligible for salary increases for that year.

XI. AUTHORITY, IMPLEMENTATION, AND AMENDMENT

This policy is approved by the President in accordance with the Restructured Higher Education Financial and Administrative Operations Act, Chapter 4.10, Title 23 of the Code of Virginia and the Management Agreement effective July 1, 2006.

The Provost, in conjunction with the Office of Human Resources, is responsible for the interpretation and administration of this policy.

The Provost may revise or eliminate this policy at any time. Any proposed substantial revision not necessitated by change in state or Federal statute will be preceded by a thirty (30) day comment period for managers and employees. The Professional and Professional Faculty Assembly will be notified of any changes.

All Human Resources policies will be posted and maintained on the HR website.
College of William & Mary

Professional/Professional Faculty Performance Checklist

Employee Name ________________________________
Employee Title ________________________________
Supervisor ________________________________
Performance Year ________________________________
Annual Rating ________________________________

Performance Review Discussion Checklist

<table>
<thead>
<tr>
<th>Supervisor's Signature</th>
<th>Date</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual Goals</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interim Evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Annual Evaluation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Long-term Development Goals</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Supervisor ________________________________ Employee ________________________________
Date ________________________________ Date ________________________________
Reviewer ________________________________
Date ________________________________