



<b>Title: Performance Planning and Evaluation Policy for Operational Employees</b>	
<b>Effective Date: February 1, 2011</b>	<b>Responsible Office: Human Resources</b>
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## **I. SCOPE**

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

## **II. PURPOSE**

This policy provides 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.



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*Unsatisfactory* – Work fails 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 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 qualities that transcend the duties of a particular position, but influence the level of an employee's achievement. The following descriptions of 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, 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; 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: An evaluation of an employee's performance completed during the performance year that informs the employee of his or her progress toward achieving the performance objectives.

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.



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Performance Year: Annual cycle for evaluating employees' performance and establishing a performance plan for the next performance year. The cycle begins on October 25<sup>th</sup> of one year and ends on October 24<sup>th</sup> of the next 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 a position. Position descriptions do not detail all tasks required to fulfill the core responsibilities, and are not necessarily unique to a specific employee.

Reviewer: 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 to develop performance expectations and revise them as necessary during the performance year;
- Has clear understanding of supervisor's expectations and requests clarification if necessary;
- Manages own performance to achieve performance objectives and brings to supervisor's attention circumstances that may affect their achievement;
- Seeks performance feedback from supervisor and internal and external customers;
- Fully participates in performance discussions; and
- Addresses aspects of performance identified as needing improvement.

### B. Supervisor

- Seeks input from employees regarding their annual goals;



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- Communicates and documents each employee's performance plan;
- Monitors employee performance during the performance year and communicate with employee on an ongoing basis about performance;
- Conduct at least one interim evaluation for each employee between the initial annual planning session and the end of the performance year;
- 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 customers, team members, coworkers, suppliers, or others as appropriate;
- 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;
- Meets with employees to discuss their ratings and development needs; and
- Recognize employees who demonstrate high-quality performance.

## **VI. PERFORMANCE PLANNING**

Performance plans for the new performance year will be developed within 30 days of the beginning of the performance year. (See Performance Planning and Evaluation Form, Attachment A.)

- A. Using employee position descriptions for reference, supervisors will determine the core responsibilities for each job. Related job tasks or functions may be combined or grouped to result in approximately five core responsibilities.
- B. Supervisors will work with each employee to jointly develop performance expectations for each core responsibility. Performance plans for employees with similar position descriptions and core responsibilities should reflect similar performance objectives. These objectives or expectations should reflect:
  - the desired level of performance, and
  - qualitative or quantitative measures, when appropriate.

Performance objectives are assigned a percentage that reflects the weight of each objective for the performance cycle. The total weight of the objectives equals 100%. Performance plans will also establish specific goals for the new performance year.

- C. Supervisors will meet privately with each employee to discuss and give the employee a copy of his or her performance plan.
- D. After the supervisor meets with the employee, the completed performance plans are submitted to the appropriate management reviewer for approval.



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## VII. DURING THE PERFORMANCE YEAR

- A. Documenting Performance. Supervisors should frequently document each employee's performance during the performance year.
1. Supervisors can document performance by making notes in a Supervisor's File. At the end of the performance year, these performance notes should be used to develop the performance evaluation.
    - a. Supervisors' files should be maintained in a confidential manner. Employees who are the subject of these records will have access to the information.
    - b. Information in the supervisor's file must be retained in accordance with the provisions of Virginia's Public Records Act and destroyed in a timely manner. All employees are responsible for following the College's records management policies and procedures, including appropriate approvals for destroying records. Records management information and assistance is available at <http://swem.wm.edu/scrc/RecordsManagement.cfm>.
  2. Supervisors will complete a minimum of one interim performance review during the performance year. The supervisor will meet with the employee to review and discuss the interim review. The Interim Performance Evaluation Form (Attachment B) will be used for this purpose.
    - a. Interim Evaluations are considered performance notes, rather than part of an employee's official personnel file and, therefore, they are intended for informational use only to be used when completing the annual performance evaluation. Interim Evaluations are maintained in the supervisor's file. The employee shall be given a copy of the interim performance evaluation.
    - b. See Section VIII(B) below for a discussion of the use of interim evaluations for employees who have received a Fair Performer rating.
  3. *Incidents of Exceptional or Exemplary* performance or behavior should be documented in the form of a memorandum to the employee. This memorandum may be in the form of an email, provided that it is referenced as "Documentation of Exceptional Performance."
    - a. A copy of the memorandum should be maintained in the supervisor's file for use when developing the performance evaluation.
    - b. The reviewer also should receive a copy of the memorandum.
  4. *Unsatisfactory* performance or behavior should be promptly addressed by supervisors.
    - a. Supervisors will meet privately with employees to encourage them to correct their performance



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or behavior. If the unsatisfactory performance or behavior is not corrected promptly, the supervisor will use a Notice of Substandard Performance Form (Attachment C) to document the matter.

- b. The employee and reviewer will each receive a copy of the form. The supervisor also should keep a copy in his or her supervisor's file for use when developing the performance evaluation.

**NOTE:** Supervisors also can address incidents of unsatisfactory performance or behavior through the disciplinary process as appropriate.

B. Changes During the Performance Year.

1. *Changes to the Job.* If *unexpected circumstances* during a performance year significantly alter the Core Responsibilities, the performance plan should be modified. Changes during the performance year should be noted in the appropriate place on the Performance Planning Form and initialed by all parties.

If an employee moves to a *different position* during the performance year, the employee's supervisor should complete an Interim Performance Evaluation and forward a copy to the employee's new supervisor to provide information that will assist with the preparation of the annual performance evaluation; provided, that this does not apply where an employee moves to the new position prior to or within 30 days of the performance plan for that year having been completed.

2. *Changes in Supervisors.* If the employee's supervisor leaves his or her position during the performance year, the departing supervisor should complete an Interim Evaluation of the employee's performance; provided, that this does not apply where an employee moves to the new position prior to or within 30 days of the performance plan for that year having been completed.

## VIII. PERFORMANCE EVALUATION

A. Completing Performance Evaluations.

1. The annual performance evaluation should reflect performance during the entire performance year.
2. Supervisors should review all documentation from the performance year including notes, Interim Evaluation Forms and any memoranda or other documentation related to employees' performance or behavior, when completing annual performance evaluations.
3. Employees will be given an opportunity to complete a self-assessment of his or her job performance during the performance year for their supervisor to consider, along with other documentation, when completing the annual performance evaluation. Employees must provide their self-assessment to



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the supervisor two weeks prior to the evaluation meeting.

4. Performance evaluations completed by supervisors should be reviewed and approved by reviewers before they are discussed with employees.
  - a. The review process is intended to ensure that this policy is applied appropriately and consistently. The reviewer may consult with the supervisor to clarify any questions about the evaluation. (See (D), below.)
  - b. The reviewer has final authority regarding the performance evaluation.
5. Supervisors should allow employees an opportunity to review their performance evaluations prior to meeting with them privately to discuss their performance evaluation. At this meeting, employees also may be asked to provide information to their supervisors regarding the upcoming performance year.

B. Fair Performers.

1. Employees who receive an overall performance rating of *Fair Performer* are not eligible to receive a merit-based (performance) salary increase, but will be eligible to receive a market increase, if appropriate. See "Compensation Policy."
2. Supervisors should meet with the employee who receive a Fair Performer rating to construct an action plan outlining steps that the employee and supervisor will take to support improved performance.
  - a. The supervisor may use either an Interim Performance Evaluation Form or a Notice of Improvement Needed/Substandard Performance Form to establish a plan for this purpose.
  - b. Plans for improvement should include guidance from the supervisor, training or re-training.
  - c. The supervisor should meet periodically with the employee over the course of the next performance year to assess progress and shall use Interim Performance Evaluations to document the employee's progress.

C. Unsatisfactory Performers.

1. Employees who receive an overall performance rating of *Unsatisfactory Performer* are not eligible for any salary increase (see "Compensation Policy") and must have their performance re-evaluated three (3) months after their unsatisfactory evaluation. Failure to improve performance to a satisfactory level typically results in termination. (See (5), below.)



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2. Within ten (10) business days of the unsatisfactory evaluation, the supervisor must develop a performance improvement plan and meet with the employee.
  - a. The Performance Planning and Evaluation Form should be used for this purpose.
  - b. The Plan should include performance objectives that can reasonably be met within the 3 month period and also may include appropriate opportunities for employee development.
  - c. The employee shall receive a copy the performance improvement plan.
3. The employee should be re-evaluated approximately two weeks before the end of the 3-month period.
  - a. Re-evaluations are considered official forms and are retained along with the original performance evaluation in the employee's personnel file.
  - b. The employee shall receive a copy of the Re-evaluation form.
4. If the employee receives a rating of fair performer or higher,
  - the employee will continue in his or her position and
  - the supervisor will prepare a Performance Plan for the new performance year.
5. Employees who do not meet the objectives of the performance improvement plan and a rated as an Unsatisfactory Performer typically will be terminated at the end of the 3-month re-evaluation period. In unusual cases, the College may exercise its discretion to demote or transfer an employee to another position rather than terminate.

**NOTE:** The re-evaluation process does not prevent the supervisor from taking disciplinary action based on the employee's poor performance or unsatisfactory behavior as outlined in the disciplinary process. See State Policy 1.60.

- D. 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. The 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



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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 state's grievance procedure.

- E. Consideration of Leave in Performance Decisions. The fact that an employee has taken any of the following types of leave cannot have a negative impact on the employee's overall performance rating or any salary increase: Workers' Compensation, military, Family and Medical Leave, or Short-term Disability and Long-term Disability-Working status under the Virginia Sickness and Disability Program (VSDP).
- F. The Next Performance Year. Supervisors should develop performance plans for the upcoming performance year as described in the Performance Planning section of this policy within 30 days of the beginning of the new performance year.

## IX. MERIT INCREASES AND BONUSES

- A. Merit Increase. Merit increases based on job performance are awarded based on the annual performance evaluation. See "Compensation Policy."
1. Prior to the completion of the performance evaluation and the discussion with the employee, the Provost or the appropriate Vice President, Dean or Director will discuss with their direct reports how to apply the ratings throughout their areas as well as the maximum percentage of increases within the budget allocations provided. Final approval of recommended merit increases rests with the Provost or the appropriate Vice President, Dean or Director, who are responsible for ensuring consistency.
  2. Supervisors will notify employees of their performance-based merit increases and bonus amounts, if applicable, after they are approved.

**NOTE:** Employees hired after July 25<sup>th</sup> of the performance year are not eligible for merit increases awarded on the basis of that performance year. Performance expectations must be established for the next performance year in accordance with the provisions of this policy.

- B. Bonuses. Supervisors also may recommend the award of a one-time performance bonus in lieu of a base salary increase. Bonuses might be recommended for a variety of reasons, including that the employee has reached the top of the salary range for his or her position.

## X. AUTHORITY, IMPLEMENTATION AND AMENDMENT



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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 Office of Human Resources is responsible for the administration and implementation of this policy. The College may revise or eliminate this policy at any time. The Vice President for Administration is authorized to amend or revise this policy.

## **XII. RELATED POLICIES**

College Compensation Policy