

Shepherd University Performance Management Program for Classified and Nonclassified Employees

INTRODUCTION

The purpose of Shepherd University's performance management program for classified and nonclassified staff is to encourage outstanding job performance from staff members through the clear setting of expectations, the identification and prioritization of resources important to the employees' duties, and the offering of prompt, thorough, fair, and clear feedback and recognition to staff. Performance feedback by supervisors is vital in helping employees understand how their work contributes to the organization. Accomplishments rather than activities should remain the focus of employee performance.

COACHING FOR SUCCESS

Feedback to employees is not reserved for the annual performance evaluation. Supervisors must provide prompt, specific feedback throughout the year in a manner that will best help to improve performance. Timely communication between supervisors and the employees who report to them is important in order for supervisors to recognize employees for valuable achievements and to redirect them when necessary based on problems encountered. Employees should not be surprised by what they see in their annual performance evaluations. Coaching is used to address all aspects of the employee's work, including effectiveness in specific tasks as well as implementation of strategies to complete goals, as applicable.

A useful way for supervisors to provide feedback to employees is through the **SBI model** (Situation, Behavior, and Impact). Performance feedback that includes the following elements is most effective.

Situation: When and where the behavior occurred.

Behavior: The specific desirable or undesirable action that the supervisor observed. The SBI model is used for both positive and constructive feedback.

Impact: The effect of the employee's behavior on others.

ANNUAL PERFORMANCE EVALUATIONS

Supervisors are required to complete evaluations for all full-time and part-time classified and nonclassified staff under their supervision.

Part of the evaluation process is for supervisors to direct employees to complete self-evaluations. This step will be the means by which employees report on the status of their assigned goals for the evaluation period and rate their own performance. The employee's self-evaluation must be done prior to the supervisor's completion of assessment of the employee. A supervisor and subordinate may reach an agreement, which should be documented and must be mutual, to forego a self-evaluation in the evaluative criteria, but the employee's review of the assigned goals must be completed. An employee who is asked to complete a self-evaluation is obligated to do so.

An employee's good faith effort to complete a required self-evaluation is a factor in evaluating the work performance of the employee. The effectiveness of a supervisor in completing the evaluations of subordinates is a factor in the work performance of the supervisor.

Performance evaluations must be completed in the Human Resources (HR) system (PeopleAdmin). Instructions can be found [here](#) for supervisors and [here](#) for employees.

The online completion of performance evaluations is a cyclical evaluation summary. Periodic, direct, face-to-face meetings between a supervisor and an employee are an essential component of effective personnel management.

It is also the supervisor's responsibility to schedule a meeting with each employee in the supervisor's area and talk with the employee about past performance and future goals. In some cases a supervisor and employee may need to meet "virtually" via email to discuss some or all aspects of past performance and future goals, but supervisors should rely on email cautiously.

The second-level supervisor (i.e., the employee's supervisor's supervisor) must review performance evaluations which are being completed by their direct reports before those evaluations are shared with the employees. As the evaluation cycle is beginning, administrators should confirm which employees are two tiers below them and plan to review the drafts of their evaluations after they are completed by the immediate supervisors.

The second-level supervisor review will be accomplished as follows:

- Supervisors complete draft evaluations, scoring staff. The total score becomes the Overall Rating, and will be both a numeric total and a ratio as to points possible.
- The employee's direct supervisor then submits the document to the second-level supervisor for review. After the second-level supervisor reviews the evaluation they send it back to the supervisor.
- Following the second-level supervisor's action, the supervisor can then submit a completed evaluation to each employee.

Annual evaluations are a good time for employees and supervisors to check the employee's job description to make sure that it is up-to-date.

GOAL SETTING

During the annual performance evaluation process the supervisor and employee need to establish goals for the upcoming year that include the specific accomplishments which will be required in order for the employee to be considered successful in his or her position and for the desired outcomes to be met. At the end of the evaluation period, the level of accomplishment of the goals needs to be evaluated.

Goals, objectives and performance standards need to be **SMART** (specific, measurable, achievable, relevant, and time bound).

- Specific:** Goals should be stated with as much specificity as possible so that it is completely clear to the employee what the employee is expected to achieve.
- Measurable:** Progress toward the goal can be measured in order to determine whether the goal is achieved. This is where the goals are quantified.

- Achievable:** An unattainable or impossible goal reduces the focus and energy an employee gives to the goal. People do not work harder when they know they cannot achieve a goal.
- Relevant:** Employees should be able to relate their work to the organization's goals and understand how their efforts lead to goal achievement.
- Time Bound:** Goals should include a target date or time period for the achievement of the goal.

Goals are to be established for each staff member. Beginning with the 2019-2020 evaluation cycle, at least three goals must be set by the employee's supervisor and discussed with the employee.

STANDARD EVALUATION COMPETENCIES

Employees will be evaluated on the following competencies.

Quality of Work (Excellence) [0-8]

Definition: Completes work duties correctly, accurately, and thoroughly. Perseveres in the face of challenges. Shows commitment to institutional objectives while striving to achieve established goals.

Quantity of Work (Productivity) [0-8]

Definition: Effectively completes essential duties of the job in the appropriate time frame. Demonstrates appropriate diligence in work productivity and output. Accepts responsibility for sharing in the department's workload. Successfully manages a variety of tasks and projects.

Knowledge of Job (Proficiency) [0-8]

Definition: Demonstrates knowledge of relevant processes and policies. Stays current in job knowledge and technical skills. Applies knowledge, problem-solving skills and analytical ability to enhance the quality of the work of self and others. Reflects growth in knowledge from experience.

Reliability and Accountability [0-8]

Definition: Arrives at work on time and does not leave work early or exceed break times. Appropriately requests leave and follows all University policies. Demonstrates integrity and is dependable and conscientious.

Working Relationships (Civility and Cooperation) [0-8]

Definition: Maintains civility under stress or adverse conditions and appropriately resolves conflicts. Responds effectively and positively to input from colleagues and welcomes constructive feedback on own performance. Consults appropriately when discretionary decisions will affect others and freely shares information with others as needed.

Customer Service (Students, Colleagues, etc.) [0-8]

Definition: Anticipates and meets the needs of others. Avoids deflecting work to other employees. Positively reflects the University's values. Communicates clearly, concisely, and courteously. Works collaboratively and harmoniously with others.

Initiative and Decision Making [0-8]

Definition: Works independently and effectively. Looks for efficiencies and cost-effectiveness. Uses logical and sound judgment and solves problems. Assumes additional responsibility to ensure the completion of a project or resolution to a problem.

Leadership (Supervisor and Management Skills) [0-8]

(Scored only for staff with supervisory / management responsibilities)

Definition: Takes charge and makes sound decisions. Develops and enforces appropriate policies and protocols. Operates area of responsibility within budget. Coaches, motivates, and develops others and effectively directs their activities. Serves as a role model. Completes timely and useful performance evaluations of direct reports and ensures the completion of timely and useful performance evaluations of all employees within area of responsibility.

Completes or Otherwise Effectively Addresses Goals [0-16]

Overall Rating

Overall Rating will be the total number of points assigned in the evaluation, in proportion to the number of points achievable (80 possible points for supervisors; 72 possible points for non-supervisors). For example, 71 of 80 points results in a score of 88.75%.

Supervisors must apply seriousness and objectivity to the rankings which they assign. A 50% ratio reflects that the employee steadily meets expectations; that is good performance, not a negative result. In a typical successful enterprise workforce such as a public university like Shepherd, the aggregate results as to all staff are not expected to be a perfect "bell curve." But the skewing of the campus wide distributions should only moderately be on the higher side of the mid-point. If 50% of all staff are scored at a 75% ratio, for example, that would be a *strong indicator* of inflated rankings.

PERFORMANCE EVALUATION RATINGS

Definitions of performance evaluation ratings are provided below.

Consistently Exceeds Requirements [8 points]

Quality of work far exceeds the standards of the job. Exceptional performer who produces high quality and large quantity of work. Makes significant contributions well beyond normal job responsibilities. Requires little direction or supervision.

Fully Meets and Sometimes Exceeds Requirements [6 points]

Fully proficient and highly effective job performance. Frequently meets and sometimes exceeds goals by producing high quality work. Errors are infrequent and are typically detected and corrected by the employee.

Meets Requirements [4 points]

Fully proficient job performance. Completes tasks in an effective manner. Employee is fully competent and is satisfactorily performing the job. This is not a negative rating; it is the one that most often will be used.

Needs Improvement [2 points]

Performance frequently fails to meet expectations or standards. Does not adequately accomplish objectives nor fulfill all responsibilities. Requires frequent guidance to perform job duties. Does not always respond to feedback and redirection. Must improve performance within designated time frame.

Unacceptable Performance [0 points]

Performance is consistently below expectations and/or has failed to make reasonable progress toward goals. Negatively affects others' performance or puts the University at risk. Employee does not accomplish most or all position objectives. Requires significant improvement in the short-term.

For all ratings of Consistently Exceeds Requirements and Unacceptable Performance, the supervisor must write in the comments section a justification for having assigned that rating. Supervisor comments are encouraged, but not required, for all of the other ratings.

PERFORMANCE IMPROVEMENT PLANS

Performance Improvement Plans are required for employees who receive any individual rating of Unacceptable Performance or Needs Improvement. Improvement plans are intended to be specific about the reasons for the improvement plan, including examples and an explanation of why the behavior was problematic; the plans must be clear and concise. Specific descriptions of essential action items need to be listed, including a timeline (generally 60-90 days). Supervisors need to follow up on employees' performance improvement plans at a defined period in order to evaluate the employees' progress and explain potential consequences of ongoing behavior. The employees' progress has to be monitored on an ongoing basis to establish that the desired improvements have been not just achieved but also sustained. An improvement plan related to one or more ratings of Unacceptable Performance should reflect that the failure to improve is likely, over time, to result in either reassignment or dismissal.

PROGRESSIVE DISCIPLINE PROCESS

When a classified staff member does not maintain the appropriate standards of performance or conduct, disciplinary action, including but not limited to, demotion, suspension, transfer, or dismissal may be taken. The supervisor will provide the employee notice of the unacceptable performance, an explanation of the supervisor's concerns, and an opportunity for the employee to provide an explanation for the behavior in question. Notice and an opportunity to explain should usually precede major disciplinary actions such as suspension and must be offered prior to dismissal.

Depending upon the actual and potential consequences of the offense, employee misconduct may be considered minor misconduct or gross misconduct. Minor misconduct is that which is generally deemed by the supervisor as correctable by counseling and/or instruction through progressive discipline. Gross misconduct is of substantial actual and/or potential consequence to operations or persons, typically involving flagrant or willful violation of policy, law, or standards of performance or conduct. Gross misconduct may result in any level of discipline up to and including immediate dismissal at the University President's discretion.

Progressive discipline requires notice of concern and expectations to the employee through counseling and written warning(s), with potential suspension, demotion, transfer, and/or termination. The Director of Human Resources must be involved in and knowledgeable about the situation before the supervisor issues any form of discipline beyond counseling.

Chronic or acute substandard performance may lead to progressive discipline as described herein.

Nonclassified employees serve at the will and pleasure of the University President. Progressive discipline is not required for nonclassified employees.

REWARDING MERITORIOUS JOB PERFORMANCE

Staff who receive an overall rating above the 51st percentile may be eligible for some form of merit pay or other rewards to be identified by the Executive Leadership Team (ELT) and the President. Some performance rewards programs in a given year may be subject to approval by the Board of Governors. The scope of merit pay and other rewards will vary from year to year and are dependent in part upon the University's budget condition for each fiscal year. In some years, rewards may be allocated only to the higher tiers of ratings scores (for example, only those in the top 10%). In other years, merit pay and rewards may be allocated up to those above the 51st percentile. In such cases it would be generally expected that tiers will be established among employees, based upon the ratings with the largest reward allocated to those who have achieved in the higher levels. No employee who receives an Unacceptable Performance rating on any of the competencies or goals on the annual performance evaluation will be eligible for merit pay.

ANNUAL PERFORMANCE EVALUATION CYCLE

The annual performance evaluation cycle will be May 15 – May 14 and is described in more detail below. The preliminary processes will begin on May 1 and the evaluation process will be completed by late June. This will provide time for the evaluation results to be considered prior to decisions being made about salaries for the following year. All of these dates are “not later than” dates; early completion is acceptable if all necessary predicate steps have been completed.

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| May 1 | Supervisors begin evaluations for classified and nonclassified employees in the HR system (PeopleAdmin) and submit the evaluations to the employees so that they can complete their self-evaluations. |
| May 10 | All classified and nonclassified staff have completed self-evaluations unless a specific, documented exception has been made. Employees return their self-evaluations to their supervisors. |
| May 31 | Supervisors establish new goals for the employees who report to them. Supervisors also complete draft evaluations, scoring staff. The total score becomes the Overall Rating, and will be both a numeric total and a ratio as to points possible. |
| June 1 | The supervisors submit the evaluations to the second-level supervisors for their review. |

- June 10 Second-level supervisors review and approve the evaluations and then submit them back to the supervisors.
- June 11 Supervisors submit the completed evaluations to the employees.
- June 12-19 Supervisors meet with each of their direct reports. It is at these meetings that the supervisors can discuss the employees' past year's performance, the status of their goals set the prior year, and the goals being established for the coming year.
- June 19 Employees submit their evaluations back to their supervisors, thereby acknowledging that they have received them, including any employee comments as to the scores and goals.
- June 20 All supervisors have submitted their completed performance evaluations to HR.
- June 20-30 HR reviews each evaluation to ensure that Performance Improvement Plans have been included for any employee who has received a rating of Needs Improvement or Unacceptable Performance on any of the competencies, to confirm that the second-level supervisory review has occurred, and to confirm that justifications have been included for the highest ratings and lowest ratings.
- HR maintains a spreadsheet recording all employees' overall ratings. The staff will then calculate the percentile ranking for each employee and provide that information to the ELT for review of merit pay decisions and rewards.