



**OFFICIAL POLICY**

9.1.8	<b>EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM (EPMS)</b>	05/01/2022
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**Policy Statement**

THE LANGUAGE USED IN THIS DOCUMENT DOES NOT CREATE AN EMPLOYMENT CONTRACT BETWEEN THE EMPLOYEE AND THE AGENCY. THIS DOCUMENT DOES NOT CREATE ANY CONTRACTUAL RIGHTS OR ENTITLEMENTS. THE AGENCY RESERVES THE RIGHT TO REVISE THE CONTENT OF THIS DOCUMENT, IN WHOLE OR IN PART. NO PROMISES OR ASSURANCES, WHETHER WRITTEN OR ORAL, WHICH ARE CONTRARY TO OR INCONSISTENT WITH THE TERMS OF THIS PARAGRAPH CREATE ANY CONTRACT OF EMPLOYMENT.

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**Policy Manager and Responsible Department or Office**

Office of Human Resources
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**Policy**

**PURPOSE/SCOPE**

Pursuant to Section 19-715 of the State Human Resources Regulations, this document describes the policy and procedures for the evaluation of the job performance of classified and unclassified staff (herein referred to as "employees") of the College of Charleston. Faculty and other academic administrators are not included in this policy and are evaluated in accordance with the Faculty/Administration Manual (FAM).

Periodic review of employee performance serves the following functions:

1. Increases efficiency by advising employees of the expectations of their supervisors through standard values/characteristics and the annual planning of job duties and goals;
2. Provides information to employees, supervisors and administrators for use in decisions concerning salary increases, promotions, reassignments within the College, demotions and terminations;
3. Provides assistance to supervisors and administrators in assigning work and delegating responsibility based on a mutual understanding of the employee's skills and abilities;
4. Encourages the continued growth and development of all classified and unclassified staff;
5. Identifies training needs;
6. Maintains a documented history of employee performance.

## **DEFINITIONS**

Established Review Date - The employee's review date as established in accordance with State Human Resources Regulations.

Universal Review Date - The date prior to which all employee's performance evaluations are due. **July 1<sup>st</sup>** will be the universal review date for the College. (Exceptions: "probationary" employees and "trial" employees.)

Short Year Review - Any performance evaluation that evaluates an employee's performance for a period of time less than twelve months. (Exceptions: "trial" period reviews and "warning notice" reviews.)

Short Year Planning Stage - Any EPMS planning stage document covering a period of time less than twelve months. (Exception: "trial" period planning stages.)

Covered Employee: A full-time or part-time employee occupying a part or all of an established full-time equivalent (FTE) position who has completed the probationary period and has a "successful" or higher overall rating on the employee's performance evaluation and who has grievance rights. If an employee does not receive an evaluation before the performance review date, the employee must be considered to have performed in a satisfactory manner and be a covered employee. This definition does not include employees in positions such as temporary, temporary grant, or time limited employees who do not have grievance rights.

Performance Goal: A short-term objective set for specific duties or tasks within an employee's current position. These goals may be related to the overall institutional goals, specific to departmental goals, or may be related to an individual goal to improve professional skills and abilities.

## **GENERAL INFORMATION**

1. The provisions of this policy address the evaluation process of both probationary and covered employees. Although not specifically mentioned in this policy, employees exempt from coverage under the State Employee Grievance Procedures Act (SEGPA) may also be given annual performance evaluations.
2. All performance evaluations shall be in writing by the employee's supervisor (rating officer) who has direct experience or knowledge of the work being performed.
3. The performance evaluation document shall be reviewed by the next higher-level supervisor (the reviewing officer) prior to the performance evaluation document being discussed with the employee.
4. The next higher-level supervisor (reviewing officer) may attach additional comments to the performance evaluation document and in the attachment may take exception to any of the supervisor's (rating officer's) evaluation points. However, the next higher-level supervisor (reviewing officer) may not change the performance evaluation document completed by the supervisor (rating officer).
5. The Reviewing Officer and the Rating Officer must come to agreement on the rating before the evaluation is presented to the employee.
6. The performance review date marks the beginning of a new review period.
7. Whenever an employee's job duties change significantly, the performance evaluation document and position description should be revised to reflect that change.
8. Employees who become new supervisors of employees whose duties and goals have previously been set may modify decisions previously agreed upon in the planning stage. Should the new supervisor fail to make modifications, it shall be understood that the previously agreed upon duties and goals shall remain valid for that performance review period.
9. The final performance evaluation document must bear the signature of the supervisor (rating officer), the next higher-level supervisor (reviewing officer), and the employee (if possible).
10. If the employee refuses to sign the performance evaluation document, a notation shall be made on the performance evaluation document. If possible, a witness should sign to acknowledge that the employee refused to sign the performance evaluation document.
11. All performance evaluations shall become a permanent part of the employee's official personnel file.
12. Upon request, the College shall furnish the employee a copy of the performance evaluation document with copies of all pertinent attachments including the form completed at the time of the planning stage and the final performance evaluation document. Employees also have access to their evaluation information at any time by logging into their PeopleAdmin performance portal.
13. The College provides training to supervisors (rating officers) and employees in the application of the Performance Evaluation process.
14. Once a performance evaluation rating has been fully executed and submitted to the Division of Human Resources, the rating cannot be changed. Under extenuating circumstances, a "successful by default" rating may be changed upon approval

from the Vice President of Human Resources or their designee.

## **IMPLEMENTATION**

The College of Charleston will phase in the Universal Review Date. As of the effective date of this policy, once a newly-hired employee reaches his or her Established Review Date, the employee will receive a Short Year Planning Stage and Short Year Review in order to move the employee from the Established Review Date to the Universal Review Date. All other employees should receive a Short Year Planning Stage and Short Year Review in order to move from the previous Universal Review Date to the updated Universal Review Date.

## **LEVELS OF PERFORMANCE**

A. The Performance Evaluation Policy provides for four levels of performance to rate each job duty and each goal, and to rate overall performance:

1. **Exceptional:**

Work that is characterized by exemplary accomplishments throughout the rating period; considerably and consistently exceeds expectations for all job functions and goals throughout the rating period; considered a role model and makes significant or unique contributions to the College.

2. **Superior:**

Work that is characterized by exceeding expectations throughout the rating period; performance that is consistently above the requirements of the job duty or goal.

3. **Successful:**

Work that is characterized by the successful mastery of the criteria of the job duty or goal.

4. **Unsuccessful:**

Work that does not meet the criteria of the job duty or goal.

B. Values/Characteristics (for supervisors only) will be rated as pass/fail.

C. It is recommended that the overall evaluation rating be determined by considering the job duties as 80% of the overall rating and goals as 20% of the overall rating.

## **PROCEDURES**

### **A. Planning Stage**

Each employee shall have a planning stage conducted at the beginning of each rating period. The employee's job duties and goals for the next rating period will be discussed at this time. The success criteria for duties and goals will be provided in the planning stage document. The rating officer and employee should participate in drafting the planning stage document. The reviewing officer and the rating officer should discuss the requirements for the coming year prior to the planning stage. A rating officer may also link the employee's training plan to the planning stage document.

1. Job Duties

The employee's position description will auto-populate the job duties to be rated on the evaluation and will include the percentage assigned to that job duty. If the position description is not up-to-date, or if there is no position description, one should be prepared and submitted for approval. Each job duty shall be rated in the evaluation stage based on the four levels of performance, mentioned previously.

2. Goals

A minimum of three (3) performance goals shall be required for all employees. At least one goal must be an organizational goal that aligns with one or more of the College of Charleston's 2020 Strategic Plan Goals/Initiatives. Other goals may include performance goals which may support the department/college and are related to the job duties, or professional development goals which may enhance the skills or knowledge relevant to the current role or which may help to develop skills for a future role. Each goal shall be rated in the evaluation stage based on the four levels of performance, mentioned previously.

3. Values/Characteristics for Supervisors Only

In addition to the Goals as described above, it is mandatory that all supervisors be rated as either **pass** (meets requirements), or **fail** (fails to meet requirements) on each of the following three Values/Characteristics:

- **Leadership/Core Values of Integrity and Diversity, Equity, and Inclusion (Supervisors only)**

Guides others to the accomplishment of objectives/responsibilities while adhering to the highest ethical standards in accordance to the College's core value of integrity. Demonstrates respect for self, others and place. Accepts responsibility for actions/decisions. Maintains a positive working environment that embodies respect and reflects civility for all individuals' unique perspectives in accordance with College's core value of Diversity, Equity, and Inclusion.

- **Promoting Equal Opportunity/Core Value of Diversity, Equity, & Inclusion (Supervisors Only)**

Promotes the College's affirmative action goals in such areas as hiring, promotion, or placement. Maintains level of personal and organizational commitment to equal opportunity. Supports progress toward achieving a fully integrated and representative work force; and contributes toward minority

programs and other social economic equal opportunity goal in accordance to the College's core value of Diversity, Equity, & Inclusion.

- **Evaluation (Supervisors Only)**

Takes the time to effectively plan and evaluate employee performance. Provides candid, respectful, and constructive feedback and coaching. Completes evaluations in a timely manner and with their employees establishes thoughtful, relevant goals. Follows up on performance and goals.

At the conclusion of the planning stage, the job duties, success criteria, performance characteristics (for supervisors), and goals are documented on the performance evaluation form in PeopleAdmin. The form is signed electronically by the supervisor (rating officer) and the employee. The original form is retained online in the PeopleAdmin performance portal and can be accessed by the supervisor or employee at any time during or after the review process.

## **B. On-going Performance Management**

The supervisor (rating officer) should provide ongoing performance feedback to employees throughout the review period. An unofficial mid-year review is recommended to assess progress, to correct any misunderstandings about expectations, and to encourage ongoing communication between the supervisor and employee.

## **C. Probationary Period Performance Evaluation**

1. Each new employee in probationary status shall be rated prior to the completion of a 12-month probationary period.
2. If a probationary employee does not receive a performance evaluation document prior to the performance review date, the employee will receive a "Successful" rating by default and obtain covered status as a state employee (covered by the provisions of the State Employee Grievance Procedure Act) and permanent status in the class.
3. The probationary period may not be extended.
4. After satisfactory completion of the probationary period, an employee may receive a short-year planning stage and a short-year review in order to move the employee to the universal review date.
5. If an employee is not performing satisfactorily, the employee should be terminated before the end of the probationary period before becoming a covered employee.
6. Until an employee has completed the probationary period and has a "Successful" or higher overall rating on the employee's evaluation, the employee has no grievance rights under the State Employee Grievance Procedure Act; therefore, the College is not required to follow the "Substandard Performance Process" to terminate a probationary employee.
7. The "Successful" rating is the equivalent to the "Meets" performance rating referenced in the State Employee Grievance Procedure Act.

#### **D. Annual Performance Evaluation**

1. All employees will be given an annual performance evaluation no more than 90 days prior to the employee's performance review date.
2. If an employee is on approved leave with or without pay for more than 30 consecutive workdays, the employee's performance review date may be advanced up to 90 days.
3. An employee who receives a "Warning Notice of Substandard Performance" may have the performance review date advanced to coincide with the "Warning Notice of Substandard Performance" dates.
4. If an employee does not receive an evaluation prior to the performance review date, the employee shall receive a "Successful" rating by default.
5. A covered employee may not be issued an overall "Unsuccessful" evaluation or an "Unsuccessful" rating on any essential job duty or goal which significantly impacts performance, without following the "Substandard Performance Process."
6. Should the review date advance, the employee may require a short-year planning stage and a short-year review period in order to move the employee back to the universal review date.

#### **E. Trial Period Performance Evaluation**

1. Each covered employee who has been demoted, promoted, reclassified, reassigned within the College, or transferred from another state agency to a position, or experiences an unclassified state title change in which they have not held permanent status in the class or unclassified state title, shall be evaluated prior to the completion of a six-month trial period in the position.
2. If an employee does not receive a performance evaluation prior to the performance review date, the employee will receive a "Successful" rating by default and obtain permanent status in the new classification.
3. Once the employee has completed a successful trial period and obtained permanent status in a class, the employee retains permanent status in the class throughout the employee's continuous service.
4. A performance evaluation document should be completed prior to the end of the six-month period. The trial period may be extended up to 90 calendar days upon written notice to the employee prior to the end of the six-month trial period. The employee's performance review date shall be advanced for the time period such extension is in effect.
5. After satisfactory completion of the trial period, a short-year planning stage and short year review is required in order to move the employee back to the universal review date.
6. The "Substandard Performance Process" is not required to demote or reclassify downward an employee in trial status to the same class from which promoted, if the demotion or reclassification occurs within the trial period. The "Substandard Performance Process" is also not required to demote or reclassify downward an employee in trial status to a class in an equal or higher pay band from which promoted, if the demotion or reclassification occurs within the trial period. The employee in trial status may not grieve such demotion. The "Substandard

Performance Process” is required in order to terminate or demote, for performance reasons, an employee in trial status to a class in a lower pay band than that from which promoted.

#### **F. Substandard Performance Evaluation**

A covered employee (covered by the provisions of the State Employee Grievance Procedure Act) whose performance is substandard shall be given adequate notice and the opportunity to improve prior to receiving an “Unsuccessful” rating and being removed from the position.

1. If an employee’s performance becomes substandard, the supervisor (rating officer) will provide the employee with a written “Warning Notice of Substandard Performance.”
2. The supervisor (rating officer) shall issue a “Warning Notice of Substandard Performance” prior to issuing an “Unsuccessful” rating to a covered employee. If during the performance period an employee is considered “Unsuccessful” in any essential job duty or goal that significantly impacts performance, the supervisor (rating officer) shall provide the employee with a written “Warning Notice of Substandard Performance.” The warning notice shall provide for an improvement period of no less than 30 days and no more than 120 days. The warning notice may be issued at any time during the review period. Ordinarily, the warning notice may not extend beyond the employee’s review date. However, the performance review date may be advanced to coincide with the “Warning Notice of Substandard Performance.” Should the performance review date be advanced and the employee receives a “Successful” or above rating on all essential job duties and goals, which significantly impacts performance, as noted in the warning notice, the employee may require a short-year planning stage and review in order to move the employee back to the universal review date.
3. The supervisor (rating officer) and the employee should participate in drafting a work improvement plan as a part of the “Warning Notice of Substandard Performance.” The work improvement plan should include a list of ways to improve the deficiencies and other appropriate performance-related recommendations. In those instances where the supervisor (rating officer) and employee cannot agree upon the content of the work improvement plan, the supervisor’s (rating officer’s) decision is final.
4. During the warning period, the employee and the supervisor (rating officer) must meet regularly to discuss the employee’s progress. Documentation is required to verify that these counseling sessions were held. Copies of this documentation shall be placed in the employee’s official personnel file and given to the employee upon request.
5. If the employee’s performance is rated “Successful” or above by the end of the warning period on all essential job duties/goals that significantly impact performance as noted in the warning notice, employment continues. If the employee is rated “Unsuccessful” by the end of the warning period on any essential job duty or goal that significantly impacts performance as noted in the warning notice, the employee shall be removed from the position immediately (i.e.,



terminated, reassigned, or demoted).

6. Once a time for improving substandard performance has been given, the employee must be rated prior to the end of the warning period or the employee will receive a rating of "Successful" by default. The time for improving substandard performance may be extended if the extension does not cause the total warning period to exceed the maximum of 120 calendar days and notice of the extension is provided in writing before the original time for improvement expires.
7. If an employee has been issued two warning notices within a 365-day period and performance drops to a substandard level on any essential job duty or goal, that significantly impacts performance, for a third time within a 365-day period, the employee shall be removed from the position upon the third recurrence of such substandard performance by issuing the "Unsuccessful" evaluation. A warning notice is not required on the third occurrence.

### **G. Components of a Warning Notice of Substandard Performance**

The Office of Human Resources must be consulted prior to issuing any warning notice of substandard performance. The requirements of a "Warning Notice of Substandard Performance" are:

1. A written notice labeled as a "Warning Notice of Substandard Performance" and addressed to the employee.
2. The notice should be signed by the employee. It must be witnessed as a "Warning Notice of Substandard Performance" if the employee refuses to sign.
3. Include a list of the job duty(s) and/or goal(s) from the employee's planning document that are considered "Unsuccessful," with an explanation of the deficiencies for each job duty and/or goal.
4. Include the period of time the employee will be given to improve and the consequences if no improvement is noted (i.e., terminated, demotion, reassignment).
5. Include a plan for meetings to discuss employee progress during the warning period.
6. A copy of the notice shall be given to the employee, and a copy must be sent to the Office of Human Resources for the employee's official personnel file.

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### **Departments/Offices Affected by the Policy**

All department and offices of the College of Charleston are affected by this policy.

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**Procedures Related to the Policy**

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**Related Policies, Documents or Forms**

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<b>Issue Date:</b> 5.1.2022 <b>Date of Policy Revision:</b>
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<b>Next Review Date:</b> 5.1.2027
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**POLICY APPROVAL**

**(For use by the Office of the Board of Trustees or the Office of the President)**

Policy Number:

President or  
Chairman, Board of Trustees

  
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Date: 5.1.2022