

The Citadel
Policies & Procedures – Human Resources Department

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Employee Performance Management System

1. PURPOSE

The purpose of the Employee Performance Management System (EPMS) is as follows:

- A. To provide an accurate and objective method to evaluate classified and unclassified (non-faculty) staff.
- B. To improve the work performance of classified and unclassified staff in order to enhance efficiency and productivity for the State of South Carolina.
- C. To assist management in assigning work and delegating responsibilities based on a mutual understanding of the classified and unclassified employee's skills and abilities.
- D. To encourage continued growth and development of all classified and unclassified staff.
- E. To provide documentation to support recommendations for salary increases, promotions, transfers, demotions, and dismissals.

2. REFERENCE

South Carolina Employee Performance Management System Model Policy

3. GENERAL INFORMATION

- A. All performance appraisals shall be made by the employee's immediate supervisor (the rater) who has direct experience or knowledge of the work being performed.
- B. The performance appraisal shall be reviewed by the next higher-level supervisor (the reviewer), prior to the performance appraisal being discussed with the employee.
- C. The reviewer may attach additional comments but may not change the rater's rating.
- D. Whenever an employee's job responsibilities change significantly, the performance appraisal document should be revised to reflect that change.
- E. The final performance appraisal should bear the signature of the rater, the reviewer and the employee, whenever possible. If any party refuses to sign the performance appraisal, a notation shall be made on the performance appraisal of this and, a witness should sign to acknowledge that the party refused to sign the performance appraisal.
- F. All performance appraisals shall become a permanent part of the employee's official personnel file.
- G. Upon request, The Citadel Human Resources shall furnish the employee with a copy of the performance appraisal with copies of all pertinent attachments. The provisions

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of this policy address the appraisal process of both probationary and covered employees. Although not mentioned specifically in this policy, employees exempt from coverage under the State Employee Grievance Procedure Act shall also be given annual performance appraisals.

4. 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 reviews are due. October 1 will be the universal review date for the agency. (Exceptions: "probationary" employees and "trial" employees.)

Short Year Review - Any performance appraisal that evaluates an employee's performance for a period of time less than twelve (12) 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 (12) months. (Exception: "trial" period planning stages.)

5. IMPLEMENTATION

The Citadel will phase in the Universal Review Date. As of the effective date of this policy, once an employee reaches his/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.

6. PROBATIONARY PERIOD

Each new employee in probationary status shall be rated prior to the completion of a twelve month probationary period for non-instructional personnel, or the academic year duration for instructional personnel. The performance review date marks the beginning of a new review period. If that employee does not receive a performance appraisal prior to the performance review date, the employee will receive a "Successful" rating and obtain covered status as a State employee and covered status in the class. The probationary period may not be extended. 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. If an employee is not performing satisfactorily during the probationary

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period, the employee shall be terminated before becoming a covered employee. 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 Citadel is not required to follow the “Performance Improvement Plan” to terminate a probationary employee.

7. TRIAL PERIOD

An employee who is promoted, demoted, or reclassified shall have the performance review date re-established six (6) months from the date of promotion, demotion or reclassification. An employee who is reassigned or transferred to a position in a different class shall have the performance review date re-established six (6) months from the date of the reassignment or transfer. An employee who is reassigned or transferred to a position in the same class or who receives any in-band increase or decrease within the current class shall not have the review date reestablished. Once established, an employee’s performance review date shall not be changed, except as follows during the trial period:

- a. The six month 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. An employee who is in a trial status and has had the trial period extended in accordance with the approved performance appraisal policy shall have the performance review date advanced up to ninety (90) calendar days for the time period such extension is in effect. After satisfactory completion of the trial period, the employee may require a short year planning stage and a short year review in order to move the employee back to the universal review date.
- b. An employee who is promoted and who, prior to attaining status in a covered position in the higher class, is demoted to the same class from which promoted, shall retain the original performance review date established in the lower class. The “Performance Improvement Plan” 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 “Performance Improvement Plan” 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 employee in trial status may not be terminated or demoted to a class in a lower pay

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band than that from which promoted for performance reasons without following the “Performance Improvement Plan.”

8. TRAINING

Training is encouraged for all employees within the agency in regard to EPMS.

9. LEVELS OF PERFORMANCE

There shall be three levels of performance to rate each job function and objective and to rate overall performance. Levels 1- 3 listed below, correspond to EPMS criteria levels approved by the SC Budget and Control Board:

A. Exceptional

Select this rating for work that is characterized by exemplary accomplishments throughout the rating period or performance that is considerably and consistently above the criteria of the job function or objective.

B. Successful

Select this rating for work that meets the criteria of the job function or objective.

C. Unsuccessful

Select this rating for work that fails to meet the criteria of the job function or objective.

10. PERFORMANCE CHARACTERISTICS

Performance characteristics shall not be rated by the three levels of performance, but shall be given a rating of pass or fail, and are not weighted in the overall performance rating. Be sure to include the Ethical statement found in section 14A.

A. Pass - Meets requirements

B. Fail - Fails to meet requirements.

11. PLANNING STAGE

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Each employee shall have a planning stage conducted at the beginning of each rating period. The employee's job functions, objectives, and performance characteristics for the next rating period will be discussed at this time. The rater and employee should participate in drafting the planning stage document. The reviewing officer and the rater should discuss the requirements for the coming year prior to the planning stage.

12. JOB FUNCTIONS

The rater and the employee shall determine the job functions (which include job duties and success criteria) by reviewing the employee's position description. If the position description is not up-to-date, or if there is no position description, one should be prepared and submitted for approval. In those instances where the rater and employee cannot agree upon the job functions, the rater's decision shall be final. The statement outlining the job function should include descriptive information about the performance expectations (success criteria) of the rater. The descriptive statement should specify the expectations of the rater for the employee to meet performance requirements. Each job function shall be rated in the evaluation stage based on the three levels of performance. All raters should be evaluated on timely completion of performance appraisals.

13. OBJECTIVES

Objectives shall be optional for all employees. An objective should be included when the employee is assigned a special, non-recurring project or assignment that is not included on the employee's position description. The statement outlining the objective(s) should also include descriptive information about the performance expectations (success criteria) of the rater. The descriptive statement should specify the expectations of the rater for the employee to successfully meet performance requirements. Each objective shall be rated in the evaluation stage based on the three levels of performance.

14. PERFORMANCE CHARACTERISTICS

Each performance characteristic shall be defined in the planning stage and rated as "pass" or "fail" in the evaluation stage. The performance characteristics section shall be used as a communication tool to emphasize those performance characteristics that are important to success in performing the job functions and objectives included in the planning document. The performance characteristics section shall not be weighted in the determination of the overall performance rating.

- A. All employees are to be rated on The Citadel's Ethical Principles. The statement should read as follows: Characteristic – Ethical Principle's; Definition - Meets

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agency's Ethical Principles for Employees: honesty, accountability, integrity and respect.

- B. All supervisors and managers must be rated on “Promoting Equal Opportunity”. It shall be mandatory for all managers and supervisors to be rated on the performance characteristic of "promoting equal opportunity." (Promoting equal opportunity includes such areas as hiring, promotion, or placement; level of personal and organizational commitment to equal opportunity; progress toward achieving a fully integrated and representative work force; and contribution toward minority programs and other social/economic equal opportunity goals.) It shall be mandatory for all supervisors to be rated on the performance characteristic of "completing EPMS planning stages and evaluations on time or in a timely manner" as a part of their supervisory responsibilities. A list of suggested performance characteristics and their definitions can be obtained from the Human Resources Department or obtained from the Human Resources Web page.

15. ONGOING PERFORMANCE MANAGEMENT

A rater should continue to provide performance feedback to employee throughout the review period. An unofficial mid-year review is encouraged to facilitate this communication between raters and staff.

16. ANNUAL PERFORMANCE REVIEWS

- A. All staff in covered positions shall be given an annual performance appraisal no more than 90 calendar days prior to the review date. If an employee does not receive a performance appraisal prior to the review date, the employee shall receive a "Successful" rating by default.
- B. An employee with covered status in a covered position, who is placed under a “Performance Improvement Plan,” within thirty (30) days of the employee’s annual review date, shall have the review date advanced up to 90 calendar days.
- C. An employee who is granted leave of absence with or without pay in excess of thirty (30) consecutive workdays shall have the review date advanced up to 90 days after the expiration of the first thirty (30) workdays granted for each leave with or without pay.
- D. An employee in a covered position may not be issued an overall "Unsuccessful" performance appraisal at any time during the annual review period without following the "Performance Improvement Plan (PIP)." This process applies to all employees.

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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. An employee's performance review date marks the beginning of a new review period.

17. PERFORMANCE IMPROVEMENT PLAN (ALSO KNOWN AS SUBSTANDARD PERFORMANCE PROCESS) FOR COVERED EMPLOYEES

An employee in a covered position is entitled to adequate notice of substandard performance and the opportunity to improve the substandard performance before receiving an "Unsuccessful" rating and being removed from the position. To ensure this occurs, the following procedures shall be followed:

- A. A rater shall complete a [Performance Improvement Plan \(PIP\)](#) prior to issuing an "Unsuccessful" rating to an employee in a covered position. If during the performance period an employee is considered "Unsuccessful," in any essential job function or objective which significantly impacts performance, the rater shall provide the employee performance with a completed Performance Improvement Plan. The supervisor may also utilize a Performance Improvement Plan to clarify the specific performance areas the employee needs to improve on. The Performance Improvement Plan shall provide for an improvement period of no less than 30 days and no more than 90 days. Ordinarily, the time period for PIP may not extend beyond the employee's review date. However, if the Performance Improvement Plan is issued less than 30 days before the employee's review date, the performance review date would be advanced up to 90 calendar days. Should this occur, and a satisfactory review is completed, an employee will receive annual planning stage and review. Should the performance review date be advanced and the employee receives a "successful" or above rating on all essential job functions/objectives, which significantly impact performance, noted in the warning notice, the employee may require a short year planning stage and a short year review in order to move the employee back to the universal review date.
- B. The rater and employee should participate in drafting a Performance Improvement Plan. The Performance Improvement Plan should include a list of ways to improve the deficiencies and other appropriate performance related recommendations. In those instances where the rater and employee cannot agree upon the content of the Performance Improvement Plan, the rater's decision shall be final.
- C. During the time period for PIP, the employee and the rater shall have regularly scheduled meetings during which they shall discuss the employee's progress.

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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.

- D. If the employee's performance is rated "Successful" or above on all essential job functions/objectives, which significantly impact performance, noted in the Performance Improvement Plan by the end of the time period for PIP, employment shall continue. If the employee is rated "Unsuccessful," on any essential job function or objective which significantly impacts performance as noted in the Performance Improvement Plan by the end of the time period for PIP, the employee shall be removed from the position (i.e., dismissed, reassigned, demoted).
- E. Once a time frame for improving substandard performance has been given, the employee receives a written appraisal prior to the end of the time period or the employee will receive a "Successful" rating by default.
- F. 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 function or objective, which 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" performance appraisal. A warning notice is not required on the third occurrence.

18. PERFORMANCE IMPROVEMENT PLAN

The requirements of a "Performance Improvement Plan" are:

- A. The plan shall be in writing, addressed to the employee, labeled as a "Performance Improvement Plan," and signed by the employee (witnessed, if employee will not sign).
- B. The plan shall list the job function(s) and/or objective(s) included on the employee's planning document that are considered "Unsuccessful," with an explanation of the deficiencies for each job function and/or objective and ways of improving the noted deficiencies.
- C. The plan shall include the time period for improvement and the consequences if no improvement is noted (i.e., dismissal, demotion, or reassignment).

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- D. The plan shall include a schedule for meetings to discuss the employee's progress during the time period for PIP.
- E. A copy of the plan shall be given to the employee and placed in the employee's official personnel file.