

**COLLEGE OF CHARLESTON**  
**Article 4.04 EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM**  
**(Revised and Effective 7/1/04)**

-----

**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.**

-----

***SCOPE***

Pursuant to Section 19-715 of the State Human Resources Regulations, the following plan outlines the format of the Employee Performance Management System (EPMS) for the College of Charleston.

This EPMS Program is designed to provide management and supervisory personnel with information and guidelines for appraising employee job performance. EPMS is a formal, objective program that enables employees to be appraised based upon their work characteristics and traits and to plan and develop goals for the future. Specific instructions herein should be read in their entirety prior to appraising the performance of subordinates. Any questions you might have should be addressed to your supervisor or to Human Resources at the College of Charleston.

A primary responsibility of a manager/supervisor is to accomplish work through other people. A manager/supervisor must: ensure that subordinates clearly understand their job assignments; appraise each employee's performance on a continuing basis; reinforce acceptable performance; encourage and plan for each employee's development; and correct performance that is substandard. It shall be mandatory for all raters to be evaluated on the timely completion of each employee's performance appraisal.

***GENERAL INFORMATION***

The provisions of this policy address the appraisal 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 shall also be given annual performance appraisals.

All performance appraisals shall be made in writing by the employee's supervisor who has first hand experience and knowledge of the work being performed and reviewed by the next higher level supervisor or Reviewing Officer, unless the appraiser is the President, prior to the appraisal being discussed with the employee. The Reviewing Officer may attach additional comments to the appraisal and may take exception to any of the appraising supervisor's points; however the Reviewing Officer may not change the final appraisal completed by the supervisor. The Reviewing Officer and the Rating Officer must come to an agreement on the rating before the appraisal is presented to the employee. The appraisal must bear the signature of the Reviewing Officer, the supervisor and the employee, if possible. If any party refuses to sign the appraisal, a notation shall be made on the performance appraisal of this. If possible, a witness should sign to acknowledge that the party refused to sign the appraisal.

Employees who become new supervisors of employees whose duties, performance characteristics and objectives 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, performance characteristics and objectives shall remain valid for that performance review period.

All employee performance appraisals shall be filed and become a permanent part of the employee's official personnel file as maintained in Human Resources. A copy of the appraisal should be retained in the departmental files and one should be given to the employee.

## **TRAINING**

*All new employees will be properly oriented in EPMS. All new supervisors will receive training on EPMS prior to appraising or beginning the planning stage with any subordinate.*

## **EPMS FORMS**

*The Performance Evaluation form is to be used for all employees with the exception those employees specifically exempted by [\(S.C. Code Ann. § 8-17-380\)](#). The form is divided into six sections:*

Traits/Characteristics for all employees	Development/Improvement Plan
Manager/Supervisor Traits/Characteristics	Summary of Strengths and Accomplishments
Summary of Job Performance	Sign off section for Reviewer/Rater/Employee

### ***Five levels of performance will be used:***

**Exceptional (E)** correlates to Substantially Exceeds in State System

**Superior (S)** correlates to Exceeds in State System

**Satisfactory (SA)** and **Needs Improvement (NI)** correlate to Meets in State System

**Unsatisfactory (U)** correlates to Below Meets in the State System

### ***Definitions of the five levels of performance:***

**Exceptional:** Performance that is characterized by exemplary accomplishments throughout the rating period; performance that is considerably and consistently above the criteria of the job duty or trait/characteristic.

**Superior:** Performance that is above the criteria of the job duty or trait/characteristic throughout the rating period.

**Satisfactory:** Performance that meets the criteria of the job duty or trait/characteristic.

**Needs Improvement:** Performance that meets the criteria of the job duty or trait/characteristic but improvement is necessary.

**Unsatisfactory:** Performance that fails to meet the criteria of the job duty or trait/characteristic.

## **PLANNING STAGE**

Each employee shall have a planning stage conducted at the beginning of each rating period. The supervisor shall conduct a planning session for each employee by reviewing the position description and discussing their expectations with the employee. Employees will be given goals and development plans

as a part of the planning stage in the “Recommendations for Development/Improvement/Goals” section on the Performance Evaluation Form. The planning stage should include descriptive information specifying the expectations of the rater for the employee to meet performance requirements and should identify which performance characteristics will be rated. The rater and the employee should participate in drafting the planning stage document. In those instances where the rater and employee cannot agree upon the items to be included in the planning document, the rater's decision shall be final.

### ***TRAITS AND CHARACTERISTICS STANDARDS***

Based upon the core values established by the College of Charleston, the traits and characteristics set forward in the evaluation form are crucial to the well-being of the College and must be satisfactorily performed by each employee in order to meet our desired outcomes. Managers/supervisors have the option of using N/A if a trait or characteristic does not apply to a particular employee's job. Additional traits and characteristics may be established as appropriate to particular departments, divisions or positions. Traits and characteristics will be evaluated on a five level scale. It shall be mandatory for all managers and supervisors to be rated on the performance characteristics of “Promoting Equal Employment Opportunity” and “Evaluation.” Comments must accompany every trait and characteristic rating that is “Exceptional” or “Unsatisfactory.” This is required to ensure that appropriate and adequate feedback is given to the employee and that evaluation scores are documented appropriately. This section shall account for fifty percent (50%) of the total score.

### ***JOB SUMMARY***

The rater and the employee will determine the primary duties of a job by reviewing the employee's job description. In those instances where the rater and the employee cannot agree upon the job functions, the rater's decision shall be final. The statement outlining the job functions should include descriptive information about the performance expectations of the rater. This section shall account for fifty percent (50%) of the total evaluation score.

### ***GOALS FOR DEVELOPMENT/IMPROVEMENT FOR THE COMING YEAR***

Any limited duration non-recurring project assigned to the employee can be included on the evaluation form under this section. Such project or goal must be outlined fully describing the expectations and success criteria of the rater. Each goal noted shall be rated based on the five levels of performance.

### ***OVERALL PERFORMANCE RATING CALCULATION***

The rater shall count the Job Summary as 50% of the final score and the Traits/Characteristics as 50% of the overall final score.

### ***EVALUATION SCHEDULE***

The College of Charleston shall establish a universal evaluation date effective April 1, 2005. At that time all classified employees will be reviewed and evaluated. Until such time as this change goes into effect the College of Charleston will continue evaluating eligible employees on their individual EPMS review date. All employees, regardless of the date of their most recent evaluation, will be evaluated during the first quarter of 2005. The review date will remain April 1 for all employees from that point forward with the exception of probationary and trial employees. If an evaluation is not

completed prior to the performance review date, the employee shall receive a “Satisfactory” (Meets by Default) rating.

### ***ONGOING PERFORMANCE MANAGEMENT***

A rater should continue to provide performance feedback to employees throughout the review period. An unofficial mid-year review is encouraged to facilitate this communication between raters and employees. A rater may gather feedback to prepare the appraisal document and/or conduct unofficial appraisals more frequently than required in this policy.

### ***PROBATIONARY PERIOD***

Each new employee in probationary status shall be rated prior to the completion of a twelve-month probationary period. The performance review date marks the beginning of a new review period. If the employee does not receive a performance appraisal prior to the performance review date, the employee will receive a “Satisfactory” rating by default and obtain covered status as a State employee and permanent status in the class. The probationary period may not be extended. If an employee is not performing satisfactorily during the probationary period, the employee shall be terminated before becoming a covered employee. Until an employee has completed the probationary period and has a “Satisfactory” 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 of Charleston is not required to follow the “Substandard Performance Process” to terminate a probationary employee.

### ***ANNUAL PERFORMANCE REVIEWS***

All employees shall be given an annual appraisal no more than 90 calendar days prior to the employee's performance review date. The performance review date marks the beginning of a new review period. If an employee does not receive an appraisal prior to the performance review date, the employee shall receive a “Satisfactory” rating by default. A covered employee may not be issued an overall “Unsatisfactory” appraisal at any time during the annual review period without following the “Substandard Performance Process.”

### ***TRIAL PERIODS***

Each covered employee who has been demoted, promoted or reclassified shall be appraised prior to the completion of a six-month trial period in the position. The performance review date marks the beginning of a new review period. If an employee does not receive a performance appraisal prior to the performance review date, the employee will receive a “Satisfactory” rating by default and obtain permanent status in the new classification. Once an 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. 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.

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 employee in trial status may not be terminated or demoted to a class in a lower pay

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

### ***SUBSTANDARD PERFORMANCE***

Employees whose performance is unsatisfactory shall be given sufficient notice along with the opportunity to improve such performance prior to the conclusion of the formal evaluation period. The warning notice may be issued at any time during the review period. Ordinarily the warning period may not extend beyond the employee’s review date. However, if the warning notice is issued less than 30 days before the employee’s review date, the review date will roll forward for a day for each day the warning notice is in effect. The following procedures shall be followed when substandard performance notice is going to be issued:

1. At least 30 calendar days and no more than 120 calendar days prior to an employee receiving an overall performance rating of “Unsatisfactory,” the supervisor shall provide the employee with a ***Written Warning Notice of Unsatisfactory Performance***. The warning notice shall contain the proviso that a rating of “Unsatisfactory” shall result if performance is not brought up to standard within a specified period of time.
  - The warning notice must be in writing, addressed to the employee and labeled as a ***Warning Notice of Unsatisfactory Performance***.
  - The notice must clearly list the job performance and/or trait and characteristic deficiencies, identify ways the deficiencies may be overcome, the time period the employee will be given to improve and the possible consequences if no improvement is noted (i.e., transfer, reassignment, demotion or termination).
  - The employee shall sign the notice and a copy shall be forwarded to Human Resources for placement in the employee’s official file. The employee shall be given a copy for future reference.
  - Should the employee refuse to sign the ***Warning Notice of Unsatisfactory Performance*** the supervisor shall make a note of the refusal, initial and send a copy to Human Resources.
2. The rater and employee should participate in drafting a work improvement plan. The work improvement plan should include a list of ways to improve the deficiencies and other appropriate performance recommendations. In these instances where the rater and employee cannot agree upon the content of the work improvement plan, the raters’ decision shall be final.
3. During the warning period the supervisor and the employee shall have regularly scheduled meetings (weekly meetings are recommended) during which they shall discuss the employee’s progress. These meetings shall be documented and a copy shall be given to the employee. A copy will be placed in the official personnel file and in the supervisor’s file for future reference in documenting job performance.
4. If the employee’s overall performance is rated “Satisfactory” or above at the end of the warning period, employment shall continue.
5. If the employee’s overall performance is rated as “Needs Improvement”, the evaluation will be accepted with a meets rating and a plan for improvement over the course of the next six months shall be developed and regular meetings will be scheduled between the supervisor and the employee (bi-weekly or monthly are recommended).
6. If performance does not improve and the employee’s overall performance is rated as “Unsatisfactory” the employee shall be removed immediately from the position through reassignment, demotion or termination. Human Resources shall be consulted

at an early date should the employee not respond positively and improve unsatisfactory performance during the warning notice period.

7. The Unsatisfactory Performance process may be initiated any time the supervisor believes that the employee's overall performance is "Unsatisfactory".
8. Any employee whose performance requires more than two (2) substandard warning processes within 365 calendar days shall be terminated upon receipt of the third warning notice of Unsatisfactory Performance. This warning notice shall be labeled ***Notice of Termination*** and shall include attachments of the two previously written ***Warning Notices of Unsatisfactory Performance***. Human Resources shall be consulted prior to the issuance of the ***Notice for Termination***.