



**PERFORMANCE MANAGEMENT**  
**SUCCESSFACTORS**

**POLICY 36**

**NOTE: THE LANGUAGE USED IN THIS DOCUMENT DOES NOT CREATE AN EMPLOYMENT CONTRACT BETWEEN THE EMPLOYEE AND THE MEDICAL UNIVERSITY OF SOUTH CAROLINA (MUSC). MUSC 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.**

**I. POLICY**

- A. It is the policy of the Medical University of South Carolina to appraise the performance of employees annually, probationary employees prior to the end of the one-year probationary period and employees in a trial period prior to its completion.
- B. The Leader Performance Evaluation is the tool used to evaluate the following leaders: Administrators, Chiefs, Directors, Managers and Supervisors.

All other employees will be evaluated using the Staff Performance Evaluation tool.

For the purpose of this policy the terms employee and staff or employee and leader will be interchangeable.

- C. It is required per the State Office of Human Resources Management that all covered employees receive an evaluation; probationary, trial, or annual review. MUSC has established a Universal Review date of August 1<sup>st</sup>.
- D. A covered employee is a full-time or part-time employee occupying a part or all of an established full-time equivalent (FTE) position who has satisfactorily completed the one-year probationary period.
- E. **Research Grant, Temporary and other "non-covered" employees should be reviewed on an annual basis; August 1<sup>st</sup>, per the MUSC Universal Review date.**

- F. The objectives of the combined Evaluation/Position Description are to:
1. Define qualifications for the position including education, experience, licensure, certification or other requirements for successful performance of job duties;
  2. Provide an accurate and objective method for evaluating Leaders based upon the performance of position specific job responsibilities, achievement of pillar goals, and modeling of the Standards of Behavior;
  3. Improve work performance and encourage growth and development of employees;
  4. Support the accomplishment of organizational goals;
  5. Assist management in assigning work and delegating responsibilities;
  6. Provide documentation to support salary increases promotions, reassignments, demotions and terminations.
- G. Performance appraisals should be conducted and documented by the leader's "supervisor" who had direct experience or knowledge of the work performed. The appraisal should then be reviewed by the next higher level manager/supervisor (the reviewer) prior to the appraisal being discussed with the employee.

Evaluation scores will be based on the performance of:

1. Job Responsibilities; noting success criteria and levels of performance
2. Achievement of Pillar Goals (these are goals that support the "pillars" of MUSC Excellence). Goals and their measurable levels of attainment are listed. The Pillars are as follows: Service, Quality, People, Finance, and Growth.
3. MUSC Standards of Behavior
4. Each section of the evaluation will be rated on a four level scale. Within each section, weighting factors will be used. A more detailed explanation of the process and the ratings can be found in this policy.
5. Leaders will be held accountable for the completion of performance evaluations of those employees who are considered "direct reports." These evaluations are to be done in a timely manner. The evaluations are to be fair and are to contain measurable success criteria.
6. Evaluation training will periodically be made available to employees by the Department of Human Resources Management. New supervisors will be briefed on the performance appraisal system during their departmental orientation.

**II. DEFINITIONS**

- A. Established Review Date– The employee’s review date as established according to State Human Resources Regulations.
- B. Universal Review Date- The date when all employees’ performance reviews are due. August 1<sup>st</sup> will be the universal review date for all University employees. (Exceptions: Employees in a probationary or trial status.)
- C. Short Year Review- Any performance appraisal that evaluates an employee’s performance less than twelve (12) months. (Exceptions: Employees in a warning period of substandard performance.)
- D. Short Year Planning Stage- Any EPMS planning stage document covering a period of less than twelve (12) months. (Exception: Trial period planning stages).

**III. INFORMATION AND PROCEDURE**

**A. Frequency of Performance Reviews**

- 1. Annual Performance Review
  - a) All employees in Research grant, Temporary, FTE and Unclassified (non-faculty) positions shall be given an annual performance appraisal no more than 90 calendar days prior to the employee’s performance review date.
  - b) The performance of all employees will be appraised annually following the completion of the year (August 1st- July 31<sup>st</sup> ). The review may be delayed, in accordance with state human resources regulations, if an employee is on an extended leave of absence (greater than 30 days, with or without pay). The MUSC Universal Review date for all evaluations is August 1st.
  - c) The performance appraisal should be conducted by the manager/supervisor (rater) who has firsthand experience or knowledge of the work performed.
  - d) Prior to receiving an overall rating of Minimal/No Accomplishment, a covered employee must receive an Official Warning Notice of Substandard Performance.
  - e) Should the leader not be evaluated on or before the established review date, he/she will receive an overall “satisfactory” score of Goal Accomplishment, by default.

2. Short Year Review

If an employee has a current review date prior to April 1, a short review must be completed to catch them up to the Universal Review date. For example, if the review was due in February, there would be a review completed at that time and a Short Year review from February to August 1<sup>st</sup>.

3. Probationary Period Review

- a) A probationary employee shall be rated prior to the completion of one year of employment. This initial year of employment is called a probationary period. The performance review date marks the beginning of a new review period.  
Should a probationary employee be promoted, demoted, reclassified, experience an unclassified State title change, or be reassigned or transferred to a new class or unclassified State title prior to the end of the probationary period, the employee's performance review date shall be established as 12 months from the effective date of the personnel action.
- b) A MUSC employee who is hired between July 1<sup>st</sup> and December 31<sup>st</sup> will be evaluated on Pillar Goal results. If an employee is employed less than six months prior to the evaluation, then he/she will not be evaluated on the attainment of Pillar Goals until the next review period. As such, the evaluation will be based upon job responsibilities and behavioral standards.
- c) The probationary period may not be extended. If a leader is not performing satisfactorily, the leader must be terminated before the completion of the probationary period.
- d) If an employee is not evaluated prior to the completion of the probationary period, the employee will receive a "satisfactory" performance rating of Goal Attainment by default and obtain covered status as a state employee, should they hold an FTE position.
- e) If an employee is not performing satisfactorily, employment should be terminated before the completion of the probationary period. A probationary employee who is terminated is not subject to the "Substandard Performance Process" and has no grievance rights under the State Employee Grievance Procedure Act. However, a probationary employee who is terminated may request a review of the termination by the Director of Human Resources Management or his/her designee.
- f) Employees in a probationary review period will receive an evaluation prior to the conclusion of the probationary period and may receive a

Short Year Planning Stage and Short Year Review to move the employee to the Universal review Date.

- g) Should the probationary period end prior to April 1<sup>st</sup>, a Short Year review will be conducted to catch the employee up to the August 1<sup>st</sup> Universal Review Date.

4. Trial Period Review

The performance of a covered employee, who has been promoted, demoted, reclassified, reassigned or transferred to a position or experiences an FTE state title change in which he/she has not held permanent status in the classification, shall be appraised prior to the completion of six months of service in the new class. This six-month period is called a trial period. Once an employee has completed a successful trial period and obtained permanent status in the class, an employee retains permanent status in that class throughout the employee's continuous service.

- a) If an employee does not receive a performance evaluation prior to the completion of the trial period, the employee will receive a "satisfactory" rating by default and will obtain permanent status in the new class.
- b) Employees who are reclassified, promoted, transferred or reassigned into a designated leadership position within the first six months of the fiscal year (July-December) will be evaluated on the organization and departmental pillar goals based on the time period in the position.

Employees hired or transferred into a leadership role in the second six months of the fiscal year (January-June) will not be evaluated on the organizational and departmental pillar goals until the conclusion of the following fiscal year.

An employee who is laterally transferred or reassigned to a position in the same class shall NOT have the review date reestablished, but instead shall retain the current review date (i.e., the employee will not begin a new one year trial period). Prior to an employee being reassigned, the losing department should perform an evaluation for the period of time completed within the review period.

- c) Leaders in a trial review period will receive an evaluation prior to the conclusion of the trial period and may receive a Short Year Planning Stage and Short Year Review to move the employee to the Universal Review Date, should the Trial period end before April 1<sup>st</sup>.
- d) The new annual performance review date of an employee who has successfully completed a trial period shall be established as 12 months

from the completion date of the trial period unless the department uses an approved universal review date.

- e) The trial period may be extended up to 90 calendar days upon approval of the Department of Human Resources Management and a written notice to the employee prior to the end of the trial period. When the trial period has been extended, the performance review date will be advanced one calendar day for each calendar day the extension is in effect, not to exceed 90 days.
- f) An employee who is promoted and, prior to attaining permanent status in the classified or unclassified position with a higher State salary range, is subsequently demoted to the same class or unclassified State title from which promoted, shall retain the original performance review date which existed prior to the change in status.
- g) The Substandard Performance Process is not required to demote or reclassify downward an employee in a trial status to the same classification from which promoted or to a class of equal or higher payband from which promoted, provided the demotion or reclassification occurs before the end of the trial period. However, the employee in a trial status may not be terminated or demoted for performance reasons to a lower classification than previously held without following the "Substandard Performance Process."

5. Transfers/Reassignments

A transfer is defined as the lateral movement to a different agency by an employee from one position to another position having the same State salary range or the movement of a position from one agency to another which does not require reclassification. A reassignment is the movement within an agency of an employee from one position to another having the same State salary range or the movement of a position within an agency which does not require reclassification.

- a) A covered employee who is transferred or reassigned to a position in a different class shall have the performance review date established six months from the date of the transfer or reassignment.
- b) An employee who is reassigned to a position in the same class who is more than six months from his review date shall not have the review date reestablished, but instead shall retain the current review date. An employee who is reassigned to a position in the same class within six months or less of his review date shall have the performance review date advanced six months from the date of the reassignment.

- c) A covered employee who transfers to the same class from another State agency, within six months or less of the employee's review date, shall have the performance review date advanced six months from the date of the transfer to the new agency.

**An Employee's Review Date Shall Change for the Following Reasons:**

- a) Leave of Absence An employee on approved leave with or without pay for more than 30 consecutive workdays may have the performance review date advanced up to 90 days after those first 30 workdays.
- b) Warning Notice of Substandard Performance A covered employee who within 30 calendar days of his performance review date receives a "Warning Notice of Substandard Performance," shall have the performance review date advanced for the period of time, up to 90 days, that the "Warning Notice of Substandard Performance" is in effect.
- c) Changes in Personnel Status  
An employee's performance review date may be adjusted due to promotions, demotions, reclassifications, reassignments, transfers, or unclassified State title changes.  
An employee who is promoted or reclassified upward, prior to attaining permanent status in a class with a higher State salary range, or unclassified State title with a higher State salary range or level of responsibilities, and is subsequently demoted to the same class or unclassified State title from which promoted or reclassified, shall retain the original performance review date established with the position from which promoted or reclassified.
- d) A covered employee who, within six months or less of his/her review date, transfers from a State agency to a position at MUSC in the same class or is reassigned to a position in the same class shall have the performance review date advanced six months from the effective date of the transfer or reassignment. *(Please contact the Department of Human Resources Management to discuss your specific situation.)*

**IV. PREPARATION AND MAINTENANCE OF THE ON-LINE SUCCESSFACTORS EVALUATION PROCESS**

**A. Planning Stage**

The Planning Stage of the evaluation should take place no later than six weeks 45 calendar days after the employee has begun to work or following the completion of the most recent review. With participation from the employee, the reviewing officer

should discuss job duties with measurable success criteria, established pillar goals and Standards of Behavior for the upcoming rating period.

1. During the planning stage process, the document should be prepared for presentation to the employee using the SuccessFactors on-line system, at the beginning of the evaluation period. This document serves as the description of assigned duties, pillar goals and expected behaviors.

This document also identifies the specific skills, knowledge and abilities required of the position. Licensure, registration and certification requirements must also be specified. The degree of discretion allowed in performing the job duties and the supervisory responsibilities assigned to the position should be clearly indicated.

Each job responsibility should be noted, with the percentage of "weight" for each duty to be performed. In addition, each job responsibility should reflect whether it is an Essential or Marginal function of the job.

The Americans with Disabilities Act (ADA) requires that the physical and mental requirements of the position be incorporated into the document and that job responsibilities be designated as marginal or essential to the functioning of the position.

- a) The planning stage is an integral part of the evaluation process and should occur within 45 calendar days of hire date or transfer to a new position or the beginning of the new rating period.
- b) Success criteria should be defined for each job responsibility and objective (if applicable) and should describe in clear and concise terms that describes how a job is to be successfully performed. Success criteria establishes a level of performance required to obtain an expected performance rating and should be in measurable or quantitative terms. The Planning Stage document created in SuccessFactors will reflect the percentage of weight assigned to each job duty and the measurable levels of performance.

If the job responsibilities assigned to an employee change during the review period, the evaluation document should be revised to reflect the changes and should be electronically signed by the employee. In the event that the job responsibilities are significantly changed, the position description should be forwarded to Human Resources Management, Classification and Compensation to ensure that the classification assigned to the position is correct. An update or reclassification of the position may be necessary.

- c) Pillar Goals, Job Responsibilities, and Behavioral Standards as well as the attainment level for each level of rating should be defined. Success criteria establishing the level of goal attainment (Stretch, Goal

Accomplishment, Partial Accomplishment/Sustained Results and Minimal/No Accomplishment) should be clearly listed.

- d) It is recommended that performance be reviewed periodically to assess progress to date and to foster open communication. Evaluation Management tools should be used to review ongoing progress of the attainment of pillar goals to include 90 day action plans and periodic reports. 90 Day Action Plans should be documented in the SuccessFactors system. If performance deficiencies are noted, it is important to communicate these to the employee prior to the completion of the review period.
- e) The on-line Planning Stage document will be prepared by the employee's supervisor and routed electronically to the employee, who will then review and acknowledge receipt of the on-line document.
- f) The on-line process does not replace the discussion between the rater and the participant, but rather serves to facilitate the process.

**B. Evaluation Stage**

The Evaluation Stage should be completed prior to the end of the review period and may be conducted up to 90 calendar days before the review date. The rater should indicate the appropriate rating levels for:

1. Job Responsibilities, the attainment of pillar goals and Behavioral Standards (See Section regarding Levels of Performance.)
2. In addition to indicating the rating levels, written comments should be made in the designated area(s) of the electronic form to summarize the actual performance relative to job duties and the objective(s) (if applicable).
3. The Summary and Improvement Plan is used to identify major accomplishments, comment on performance strengths or areas in need of improvement, and to recommend steps to prepare for an improved performance in the future.
4. The appraisal should be reviewed by the next higher level manager/supervisor (reviewer) prior to the appraisal being discussed with the employee. The reviewer may change the appraisal rating completed by the rater.
5. If the rater fails to complete the appraisal by the review date, the leader will receive a "satisfactory" rating by default.
6. The evaluation should be conducted using the SuccessFactors, on-line system. The evaluation noting the levels of success criteria, will be sent electronically to the employee for review and self evaluation.

7. The employee will then electronically return the document to their direct supervisor. At that time, the supervisor will note the appropriate ratings and discuss the ratings with the reviewer (typically, the next level of supervision).
8. The approved evaluation will be sent electronically to the employee for review and electronic signature. It is the responsibility of the employee's supervisor to engage in dialogue regarding the evaluation.
9. Should the employee decline to sign the document, it may be returned to the supervisor on-line. A copy of the form will be printed and the employee should note, "Refused to Sign."
10. Upon receipt of electronic signature, the document will be returned to the supervisor for retention of the document in an electronic format and will be part of the employee's electronic file. It is not necessary to print the document, nor to forward the document to the Department of Human Resources Management.

The Americans with Disabilities Act (ADA) requires that the physical and mental requirements of the position be attached or incorporated into the document and that job tasks be designated as marginal or essential to the functioning of the position.

**C. Performance**

There are four levels of performance for each section of the Leader Evaluation. In addition, there are four levels of overall performance ratings for the Leader Evaluation.

1. **Job Responsibilities Rating Levels:**
  - (4) Expert Performance – Provides leadership; teaches others; improves the skill of others.
  - (3) Role Model Performance – Proficient individual performance; skilled, effective and efficient.
  - (2) Expected Performance – Able to perform independently; performance is fully acceptable.
  - (1) Performs Inconsistently or Does Not Perform– Needs improvement.
2. **Attainment of Pillar Goals Rating Levels:**
  - (4) Stretch
  - (3) Goal Accomplishment
  - (2) Partial Accomplishment/Sustained Results
  - (1) Minimal/No Accomplishment

**3. Behavioral Standards Rating Levels:**

- (4) Displays Standards of Behavior at the Role Model Level
- (3) Models Standards of Behavior Most Times
- (2) Models Standards of Behavior Inconsistently
- (1) Does Not Model the Standards of Behavior

**4. Overall Leader Evaluation Rating Levels:**

- (4) Stretch (3.5 and above)
- (3) Goal Accomplishment (2.5-3.4)
- (2) Partial Accomplishment /Sustained results (1.5-2.4)
- (1) Minimal/ No accomplishment (1.4 and below)

**Overall Staff Evaluation Rating Levels:**

- (4) Substantially Exceeds (3.5 and above)
- (3) Exceeds (2.5-3.4)
- (2) Expected Performance (1.5-2.4)
- (1) Below (1.4 and below)

A measurable score/rating is listed for each Job Responsibility and is weighted based upon importance and percentage of time the duty is performed. In the area of Behavioral Standards, a measurable score is listed. This section also carries a weighted value. Each pillar goal has four measurable levels of attainment. The section is also weighted.

**V. Substandard Performance (*Consult with Department of Human Resources Management prior to proceeding.*)**

**A. The Substandard Performance evaluation and documentation must be prepared and administered utilizing paper documentation.** To ensure that employees are given adequate notice of substandard performance and the opportunity to improve performance prior to the formal evaluation, the following procedures are to be followed:

1. If during the performance period an employee performs inconsistently/or does not meet expected performance of any essential job duty, pillar goal, behavioral standard or objective that in turn, significantly impacts performance, the rater 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 calendar days and no more than 120 calendar days prior to a covered employee receiving an overall rating of Below Performance Requirements. The Warning Notice must be signed by the employee.

2. The warning period may not extend beyond the employee's review date into the next rating period. However, if the warning notice is issued less than 30 days from the employee's review date, the performance review date shall be advanced up to 90 days.
3. The Warning Notice will include a statement indicating that a rating of Performs Inconsistently/or Does not perform job responsibilities, Does Not Model Standards of Behavior, Minimal/No Accomplishment of pillar goals will result if performance is not brought up to expected requirements within the specified period of time. A copy of the current Planning Document must be attached to the Warning Notice. The manager/supervisor should confer with the Department of Human Resources Management before initiating this procedure.

**B. Official Warning Notice**

An Official Warning Notice **must be in writing** and should include the following:

1. Addressed to the employee;
2. Labeled as a Warning Notice of Substandard Performance;
3. List job duties/objectives from the planning stage which are considered not meeting expected performance requirements, not modeling standards of behavior or minimal/no accomplishment of pillar goals with an explanation of the deficiencies for each job duty/objective;
4. List ways of improving deficiencies (the rater and employee should participate in drafting the work improvement plan, which should include a list of ways to improve the deficiencies and other appropriate performance related recommendations);
5. Establish a plan for regularly scheduled meetings during the warning period when the manager/supervisor will counsel the employee on the status of his/her performance. (An example would be once a week on Tuesday afternoons);
6. Indicate a time frame for expected improvements (no less than 30 days and no greater than 120 days);

7. List consequences if no improvement occurs (i.e., termination, demotion or reassignment);
  8. Include signatures of the manager/supervisor and employee. (If the employee elects not to sign the letter, a notation should be made at the bottom of the letter and signed by a witness. The witness is not privy to the contents of the letter.) A copy of the Warning Notice should be given to the employee and another copy sent to the Department of Human Resources Management for inclusion in the employee's official personnel file.
- C. During the warning period, the manager/supervisor is to meet regularly with the employee and provide appropriate training or information that will help the individual to improve. These meetings are to be documented and signed by the employee and manager/supervisor. The original signed documents should be forwarded to the Department of Human Resources Management to be included in the employee's official personnel file. A copy should be given to the employee and another copy placed in the departmental personnel file.
- D. If, at the end of the warning period, if the employee earns at least a rating of Expected Performance on all essential job duties/objectives, Models Standards of Behavior, and Sustained Results/Partial Accomplishment of pillar goals then, employment will continue. Should this not be the case, at the end of the warning period, the employee will be removed from the position immediately (i.e., terminated, reassigned or demoted).
- E. Once a specific time frame for improving substandard performance has been given, the employee must receive a written appraisal within the specified time or the employee will receive a "satisfactory" rating level 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 responsibilities, Standards of Behavior, or Accomplishment of Pillar Goals for a third time within a 365 day period, the employee shall be removed from the position upon the third recurrence by issuing an unsatisfactory i.e. Below Performance Requirements appraisal of "Performs Inconsistently/Does Not Perform." A warning notice is not required on the third occurrence.

<b>Approved by</b>	<b>Information Contact</b>	
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