



45.005: Administrative and Professional Faculty Performance Appraisal Process

Responsible Executive: Kevin Appleton, Vice President
Responsible Office: Human Resources
Related Policy:
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Revision Date:

Policy Statement

All Administrative and Professional Faculty will receive an annual Performance Appraisal by his/her supervisor. The appraisal process shall emphasize continuous communication and feedback between the employee and supervisor to accomplish the following:

- Assure employees are aware of work expectations.
- Provide employees continuous feedback regarding his/her performance.
- Assure employee's performance is aligned with the University's Strategic Objectives/Critical Success Factors.

Purpose

The Norfolk State University Administrative and Professional Faculty Performance Appraisal System is designed to provide documented, constructive feedback regarding performance expectations, spur growth and development, as well as a fair and equitable means to determine rewards for contributions to the University. The appraisal system provides information for use in establishing benchmarks for the assessment of accountability, leadership, University and public services. Administrative and Professional Faculty performance shall be measured by their breadth of knowledge, understanding of roles and contributions to the University's strategic plan.

Procedures

I. RATING SCALE:

The rating scale facilitates comparison of actual performance with potential performance in the opinion of the evaluator. The following ratings are used on the Performance Appraisal form for each Performance Objective and each of the five competencies:

1. **Exceptional:** All of the expected goals for this position are consistently exceeded. Demonstrates the highest proficiency in utilizing competencies.

2. **Effective:** Highly skilled performance in achieving established goals. Consistently utilizes competencies.
3. **Needs Improvement:** Most goals are achieved. Competencies are used inconsistently.
4. **Not Effective:** Ineffective and unproductive performance is demonstrated. Competencies are rarely utilized in achieving organizational objectives.

The following rating scale will be used in the overall rating scale:

1. **Exceptional**
2. **Effective**
3. **Not Effective**

II. PERFORMANCE CYCLE

The performance year (cycle) shall be **November to November**. All supervisors shall establish Performance Objectives in the month of November or assure that they exist by November. The supervisor and employee shall engage in the Performance Evaluation process during the month of November, with the completed forms forwarded to Human Resources by November 30th of each year. The performance cycle is established to facilitate the determination of whether Administrative and Professional Faculty shall be notified of non renewal of employment contract in December and March of the following year.

An **optional** Interim Evaluation may be conducted in May of each year (See Performance Appraisal Mid-Cycle Evaluation 6-Months).

A 90-Day New Employee discussion (See 90-Day New Employee Performance Appraisal form) shall be conducted between the supervisor and employee, 90 days after the new employee has started his/her job. This discussion will include establishment of goals and review of the NSU competencies.

III. PERFORMANCE APPRAISAL FORM

A. Performance Objectives

Supervisor and employee will establish objectives at the beginning of each performance year (performance cycle). Each objective established should meet the Specific Measurable Attainable Results Timely (SMART) criteria. Each objective established must align with one of the University's Critical Success Factors.

The **Seven Critical Success Factors** found in the University's Strategic Plan are:

1. Academic Excellence (Prioritization and Content)
2. The RISE Campus
3. Positioning and Marketing NSU as a Quality Competitor
4. Multiple Student Populations
5. Organizational Effectiveness
6. Facilities and Grounds
7. Funding

Progress towards meeting the objectives should be tracked throughout the Performance Cycle year.

B. Performance Evaluation Discussion and Ratings

This section shall be utilized for the supervisor to render a rating for each of the identified goals. The supervisor shall have access to employee's self evaluation (See self evaluation section) and to assist in the determination of the rating. Supervisors and employees are encouraged to use this section for discussion purposes.

C. Competencies

Employees shall be rated on their use of competencies in achieving their goals. The link between the objectives (the "what" which is to be achieved) and competencies (the how the objectives are to be achieved) is identified in this section. The competency behaviors are the most critical behaviors the employee will use to successfully achieve his/her objectives. The discussion should include specific behaviors exhibited by the employee which demonstrated successful performance of each competency. Again, the supervisor may use information from the employee's Self Evaluation to determine rating. Supervisors and employees may determine an addition competency which they deem specifically relevant to the position he/she occupies.

D. Service

This section shall provide an opportunity for supervisors to discuss and document both University and public service provided by the employee. University Service shall consist of work performed by an employee within the University, not related to his/her specific goals and/or objectives, but which is related to the mission and objectives of the University. This work may be performed during or after work hours. Public service is service which an employee performs in the Hampton Roads community which promotes a positive image of Norfolk State University. Also, public service may contribute to the quality of life within the local, state, national or international community. (This service must also promote the image of Norfolk State University. The supervisor has the final decision on whether University and/or public service meet the criteria established).

E. The Evaluator Assessment

The overall assessment of an employee's performance shall be noted in this section. The overall rating shall take into consideration the achieving of the documented goals and the effective utilization of the competencies. Each supervisor may make some summary comments in this section. These comments are to be used to encapsulate the performance of an employee. All performance appraisals shall be discussed with a supervisor's manager (Reviewer) prior to the supervisor/employee discussion. It is important that the supervisor and reviewer agree on performance ratings and resolve all differences prior to the supervisor/employee discussion.

Signatures: The Performance Appraisal form has a section for the supervisor's signature, the Reviewer's signature, comments and the employee's signature. The Reviewer shall review the written appraisal prior to the Performance appraisal discussion. If an employee does not want to sign his/her performance appraisal, it should be explained to the employee that the signature only signifies that they have read the performance appraisal, rather than agreement. A Reviewer's signature is not required if the employee is a direct report to the President or Vice President, although any potentially negative Performance Appraisal should be discussed with the Executive Vice President and/or President prior to discussion with Administrative and Professional Faculty.

IV. DEVELOPMENTAL PLAN

In this section, a professional development goal(s) shall be described that an employee is expected to achieve. If an employee is rated Needs Improvement or Not Effective on any element of the Performance Appraisal, a development plan should be developed to address these issues. If an employee has no Needs Improvement or Not Effective, the employee shall use the Developmental Plan for career development. The Developmental Plan shall include the resources required to improve performance or enhance career development.

The signed copies of the Performance Appraisal Year-End Form with the Developmental Plan shall be forwarded to Human Resources by end of the month of the Performance Cycle Year – November (both electronically and signed paper copy).

V. SELF EVALUATION

This form shall be completed by the Administrative and Professional Faculty member being rated, prior to the performance discussion with his/her manager. The form shall be utilized to evaluate his/her own performance. In the performance discussion, the document shall be used to facilitate a conversation around the employee's own feedback of him/herself and the manager's feedback. Finally ratings shall be within the purview of the reviewing manager.

VI. 90 DAY NEW EMPLOYEE

It is recommended that a manager conduct a formal performance discussion with a newly hired Administrative and Professional Faculty member at the end of 90 days (three months). Feedback discussion should occur during this time and focus on the understanding of the competencies, the University's Strategic Plan and the goals set which are to be accomplished prior to the end of the Performance Cycle.

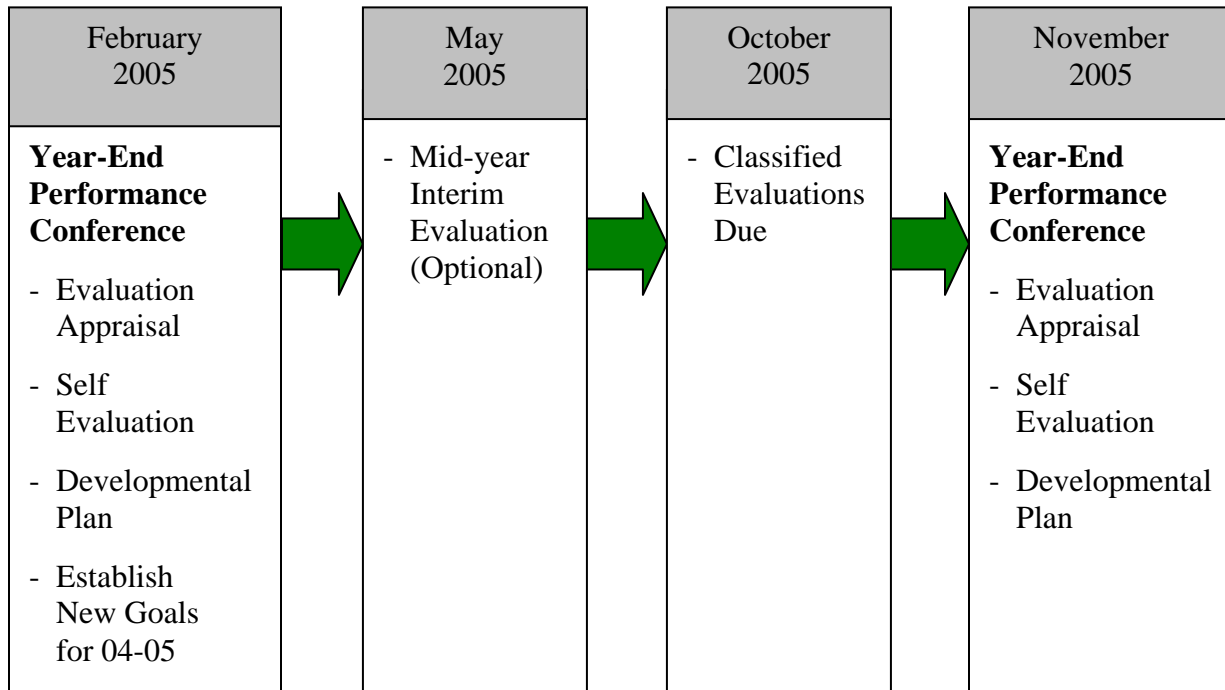
VII. PEER EVALUATION (*NOT TO BE USED AT THIS TIME*)

VIII. MID-CYCLE EVALUATION (6-MONTH)

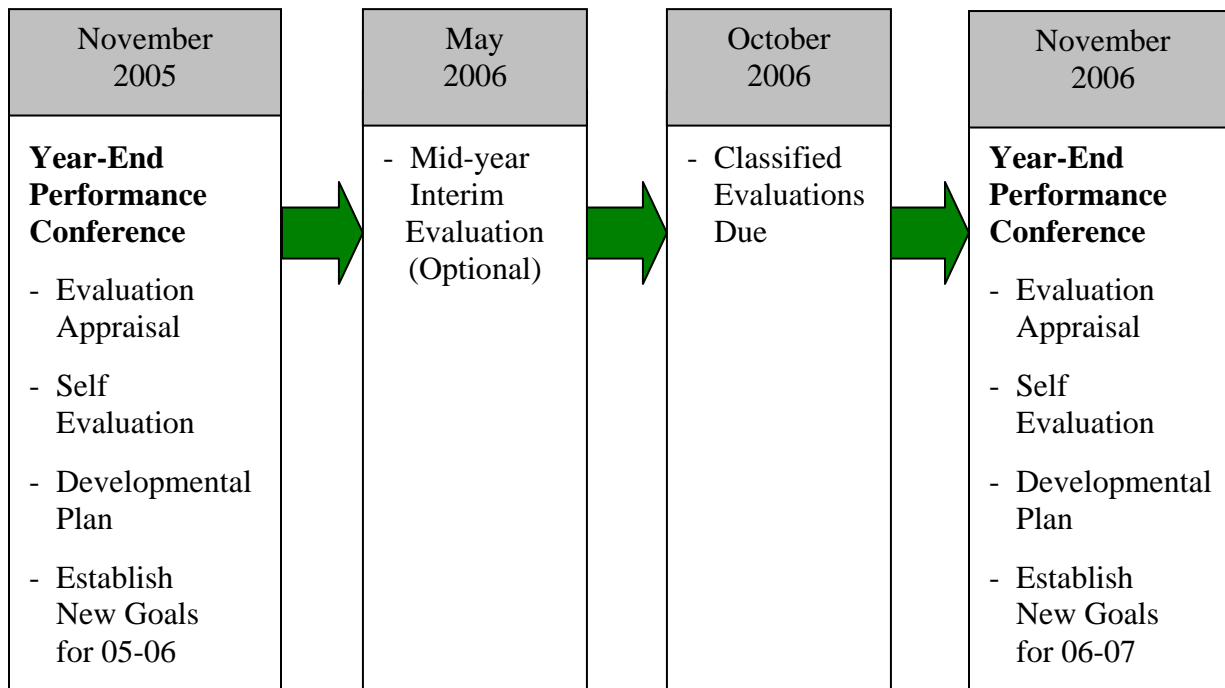
Mid-year review is critical to ensure that the employee and manager are aligned with the same expectations and to give feedback on progress towards meeting performance objectives and his/her effectiveness in demonstrating the core competencies. The employee and manager meet mid-year to discuss progress. It is critical that there are on-going performance discussions throughout the year and timely feedback is given on job performance. During the mid-year review meeting, the following should occur:

- A. Discuss progress toward meeting objectives and demonstrating competencies; this discussion should be documented on the Mid-year Performance Evaluation form.
- B. Discuss any challenges associated with progress and address by jointly problem-solving.
- C. Make any revisions in the Performance Objectives and note on Performance Appraisal forms for the year-end review.
- D. Discuss progress towards achieving objectives set in the Developmental Plan.

**2005 Performance Appraisal Cycle
For Administrative and Professional Faculty**



2005-2006 Performance Appraisal Cycle



NOTE: New Employee 90-Day Evaluations, should be conducted 90 calendar days from the date of employment.