

SUHR-001

Staff Performance Appraisal Policy

1. Policy Statement

Spalding University is committed to fostering employee development and organizational success through a structured performance appraisal process that emphasizes the achievement of annual performance goals. This policy establishes a fair, consistent, and transparent framework for evaluating employee performance based primarily on the accomplishment of predetermined, agreed-upon objectives.

2. Purpose and Objectives

The performance appraisal process serves to:

- Evaluate employee performance against established annual goals
- Provide structured feedback for professional development
- Align individual contributions with organizational objectives
- Identify training and development needs
- Document performance for legal and administrative purposes

3. Performance Evaluation Criteria

3.1. Primary Criteria (60% of Overall Rating)

Annual Performance Goals Achievement

- Goal attainment and completion rates
- Quality of deliverables and outcomes
- Timeliness of goal completion
- Innovation and problem-solving in goal execution
- Impact on team and organizational objectives

3.1.1. Core Performance Goals (50% weight)

- Primary job function objectives
- Key deliverables and projects
- Operational excellence targets

3.1.2. Professional Development Goals (10% weight)

- Skill enhancement objectives
- Training and certification completion
- Knowledge sharing and mentoring activities

3.2. SMART Goals Structure

All annual performance goals must be:

- **Specific:** Clearly defined with detailed expectations
- **Measurable:** Quantifiable outcomes and success metrics
- **Achievable:** Realistic given available resources and constraints
- **Relevant:** Aligned with role responsibilities and organizational priorities
- **Time-bound:** Clear deadlines and milestone dates

3.3. Secondary Criteria (40% of Overall Rating)

Professional Competencies

- Support of Spalding University mission and values
- Communication and collaboration skills
- Leadership and mentoring abilities
- Adaptability and continuous learning
- Professional conduct and values alignment

4. Performance Rating Scale

4.1. Goal Achievement Ratings

- **Exceptional (5):** Significantly exceeded goals with outstanding results
- **Exceed Expectations (4):** Surpassed most goals with high-quality outcomes
- **Meets Expectations (3):** Successfully achieved established goals
- **Below Expectations (2):** Partially achieved goals with some deficiencies
- **Unsatisfactory (1):** Failed to achieve most goals or meet minimum standards

4.2. Overall Performance Categories

- **Outstanding:** 4.5-5.0 average rating
- **Exceeds Standards:** 3.5-4.4 average rating
- **Meets Standards:** 2.5-3.4 average rating
- **Improvement Needed:** 1.5-2.4 average rating
- **Unsatisfactory:** Below 1.5 average rating

5. Process Timeline and Responsibilities

Annual Cycle Schedule (7/1 – 6/30 Performance Period)

- **July:** Goal setting and alignment sessions
- **December:** Mid-year review and progress assessment
- **May:** Year-end evaluation and rating finalization
- **June:** HR compiles rating information and briefs President's Cabinet
- **NOTE:** Those hired during the annual appraisal cycle will start with goal setting and then pick up with the next scheduled event. Those hired on or after 4/1, each year, are not eligible for a year-end evaluation.

6. Role Responsibilities

6.1. Employee Responsibilities

- Actively participate in goal-setting discussions
- Track progress and maintain performance documentation
- Communicate challenges and seek support when needed
- Complete self-assessment and reflection exercises
- Prepare evidence of goal achievement for evaluation

6.2. Supervisor Responsibilities

- Collaborate on meaningful and challenging goal development
- Provide employee with copy of current position description
- Provide ongoing coaching and feedback throughout the year

- Document performance observations and critical incidents
- Conduct fair and thorough performance evaluations
- Support employee development and career planning

6.3. HR Department Responsibilities

- Maintain policy compliance and process consistency
- Provide training on goal setting and evaluation techniques
- Review ratings for organizational calibration
- Manage appeals and dispute resolution processes
- Analyze performance data for organizational insights

7. Evaluation Process Steps

7.1. Step 1: Self-Assessment Preparation

Employees complete a comprehensive self-evaluation including:

- Goal achievement summary with supporting evidence
- Challenges encountered and solutions implemented
- Professional development accomplishments
- Future goal recommendations and career aspirations

7.2. Step 2: Supervisor Review and Rating

Supervisors evaluate performance by:

- Reviewing documented evidence of goal achievement
- Assessing quality and impact of completed work
- Considering feedback from colleagues and stakeholders
- Rating each goal category using the established scale
- Calculating overall performance rating

7.3. Step 3: Performance Discussion Meeting

A structured conversation covering:

- Review of goal achievement and performance highlights
- Discussion of challenges and learning opportunities
- Feedback on professional competencies and behaviors
- Recognition of exceptional contributions
- Development planning for the upcoming year

7.4. Step 4: Goal Setting for Next Period

Collaborative establishment of new annual goals including:

- Analysis of organizational priorities and role evolution
- Identification of stretch opportunities and growth areas
- Resource and support requirement planning
- Timeline and milestone establishment
- Success metrics and measurement criteria definition

8. Documentation Requirements

8.1. Performance Records

- Annual goal agreements with signatures
- Mid-Year progress notes and check-in summaries
- Performance evaluation forms with detailed ratings
- Supporting documentation and evidence files
- Development plans and training records

8.2. Quality Assurance

- Consistent rating calibration across departments
- Regular audit of evaluation completeness and accuracy
- Standardized documentation templates and formats
- Secure storage and confidentiality protection
- Retention schedules compliant with legal requirements

9. Performance Improvement Process

9.1. Identification Triggers

Performance improvement plans are initiated when:

- Overall rating falls below "Meets Standards"
- Single goal or competency rating falls below "Meets Standards"
- Critical goals remain unachieved without acceptable justification
- Performance trends show consistent decline
- Behavioral issues impact goal achievement

9.2. See SUHR-002, Staff Performance Improvement Plan Policy for specific actions and procedures.

10. Appeals and Dispute Resolution

10.1. Appeal Process

Employees may appeal performance ratings through:

1. Initial discussion with immediate supervisor
2. Formal review by next-level management
3. HR investigation and mediation services
4. Final decision by designated senior leadership

10.2. Appeal Timeline

- Appeal must be filed within 5 business days of performance discussion
- Entire appeal process should take no more than 45 business days

STEP	ACTION	RESPONSE TIME
1	Initial Discussion	5 business days

2	Management Review	5 business days
3	HR Investigation	10 business days
4	Senior Leadership Review	10 business days

10.3. Documentation Requirements

Appeals must include specific concerns about rating accuracy, process violations, or bias allegations with supporting evidence.

11. Policy Compliance and Review

11.1. Legal Compliance

This policy adheres to applicable employment laws regarding non-discrimination, equal opportunity, and fair labor practices.

11.2. Annual Policy Review

The performance appraisal policy and process will be reviewed annually to ensure continued effectiveness and alignment with organizational needs.

11.3. Training and Support

Regular training programs will be provided to ensure Supervisors and employees understand the goal-setting process, evaluation criteria, and their respective responsibilities.

This policy is effective as of 11/01/2025 and supersedes all previous performance appraisal policies. Questions regarding this policy should be directed to the Human Resources department.

Policy Owner: Human Resources Department

Policy Approval: Stephen Jordan, Director of Human Resources

Effective Date: 11/01/2025

Next Review Date: 11/01/2026 (annual review cadence)

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