

## Missouri Western State University

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| <b>Policy Name:</b> Performance Management (Staff) | <b>Responsible Office:</b> Human Resources                              |
| <b>Policy Category:</b> Human Resources            | <b>Approval Authority:</b> Vice President of Finance and Administration |
| <b>Date Effective:</b> July 1, 2024                | <b>Date Last Reviewed/Revised:</b> June 30, 2026                        |

### I. Purpose

The purpose of this policy is to provide a consistent and fair process for establishing performance expectations and for managing performance goals and conduct beyond. The performance management process supports the University's commitment to ongoing employee development and includes active participation from employees in all process steps. These steps are not intended to apply to every situation. Instead, the steps are intended to establish expectations to support supervisors and staff to understand performance expectations. This policy outlines the principles and processes to be followed in evaluating staff performance in a fair and effective manner.

### II. Applicability

This policy applies to University Staff.

This policy does not apply to faculty; details regarding the evaluation of faculty is available in the University Policy, *Faculty Evaluation Procedures*.

### III. Definitions

**Annual Performance Evaluation.** The annual cycle by which university staff employees and supervisors together set goals and expectations, give and receive feedback, and measure performance.

**Discipline.** An action taken to address serious incidents of misconduct or performance deficiencies. Workplace misconduct involving violations of policies and procedures and continued failure to correct work performance may require disciplinary action.

**Leadership Role.** An individual who has the responsibility of program oversight or supervisor of other full-time employees.

**Evaluation Period.** The period of evaluation consisting of the previous twelve (12) consecutive months prior to the evaluation.

**Evaluation Timeline** – The evaluation timeline establishes the general dates and timeframes for completion of major steps in the process. Depending upon the responsibilities and expectations

placed upon the department, the below timeline may be adjusted, if needed, by contacting the Office of Human Resources.

- **June 30-July 15** – employee completes a self-evaluation using the performance review form and submits to supervisor
- **By August 15** – supervisor completes performance review form on respective employee(s) and submit to second-level supervisor or cabinet member
- **By August 31** – second-level supervisor or cabinet member review of supervisor-completed performance evaluation forms is completed and drafts returned with comment(s) to first-level supervisor
- **September 1-15** – supervisor meets with employee and conducts the annual performance review meeting.
- **By September 30** – completed performance review forms should be submitted to the Office of Human Resources

**Performance Improvement Plan (PIP).** A formal performance management process that facilitates constructive discussion between a staff member and their supervisor and to clarify specific work performance requiring improvement. The PIP contains actions designed to address an employee's performance deficiencies or work-related misconduct through guidance to achieve acceptable performance standards.

**Performance Management.** A management process for ensuring that employees' work efforts, skills, and behavior are in alignment with the University's mission, goals, and objectives. It consists of three major components: (1) performance and development planning; (2) ongoing discussions and feedback between the employee and supervisor to keep performance and development on track throughout the performance cycle; and (3) evaluation of employee performance. Performance Management may include counseling, coaching, Performance Improvement Plans (PIPs), or other appropriate forms of guidance.

**Self-Evaluation.** The opportunity for the employee to formally document successes and opportunities for improvement to be included in their Performance Evaluation.

**Supervisor.** A University employee charged with responsibility for managing or supervising another employee's performance, including conducting performance evaluations.

**University Staff Employees (University Staff).** All benefits eligible full- and part-time University employees. University Staff must participate in the University's performance management process.

#### **IV. Policy**

Missouri Western State University recognizes the importance of effective performance management as a critical component in accomplishing the strategic goals of the University. Performance plans should contribute to departmental and university mission and the professional growth of the employee. The University's success is dependent upon the actions and

accomplishments of its employees. The objectives of the University's performance management system are as follows:

- Encourage ongoing, continuous feedback and communication between employees and supervisors.
- Align individual employee goals with the strategic objectives of the University.
- Provide opportunities for employee development and career growth.
- Identify and initiate action to resolve employee performance issues in a timely and constructive manner.

All staff members are expected to meet acceptable performance standards of their position established by their supervisor as well as to conduct themselves in a professional manner that is consistent with University policies and procedures. When a staff member cannot or does not do so, the supervisor is expected to take corrective action.

Supervisors should consult with their next-level supervisor and the Office of Human Resources to determine whether corrective action will address performance or conduct or both.

As a general rule, corrective disciplinary action is the standard method used to address unacceptable workplace conduct with the expectation that the employee can correct it immediately and with little, if any, training. By contrast, Performance Management is applicable when it addresses performance issues that may require time, clarification, and training.

## **V. Procedures/Implementation**

### **A. Overview of the Annual Performance Evaluation Process**

#### **1. Setting Performance Expectations and Goals**

At the beginning of each year, employees and supervisors will collaborate to set goals and objectives that align with the overall University objectives, as well as discuss overall performance expectations. These goals should be documented on the appropriate performance review form, to be referenced throughout the year.

#### **2. Performance Monitoring and Communication**

Supervisors and employees will have ongoing conversations regarding performance throughout the year, with the goal to continuously improve performance and create an open dialogue of expectations. Supervisors and employees are encouraged to co-manage performance accountability together and continuously exchange mutual feedback in order to grow together as individual contributors and leaders. Supervisors are encouraged to schedule regular meetings with their direct reports (bi-weekly, or another cadence determined together) and also quarterly check-ins (every 90 days) to address progress or areas for growth in each core competency. Performance goals should be reviewed and evaluated throughout the year to determine progress. Goals may be adjusted, revised and refined as needed; however, any changes should be documented to ensure the employee and supervisor agree.

### 3. Annual Performance Evaluation

The Annual Performance Evaluation phase of the evaluation process includes the employee self-evaluation and the supervisor evaluation.

- a. The self-evaluation allows employees to reflect on progress toward established goals and performance in each core value and core competency. Employees are encouraged to complete the ratings, include comments about performance, and upload attachments to support performance progress.
- b. Once the employee finalizes and submits the self-evaluation portion, the supervisor will then complete the supervisor evaluation portion to include a review of the submitted self-evaluation and attachments. Supervisors will complete their review of the employee's performance by selecting appropriate ratings and adding comments and attachments as appropriate.

Comments are strongly encouraged for all ratings but are required for some ratings. Please reference the review form for detailed directions.

If the supervisor is not a cabinet-level supervisor, then the annual performance evaluation must be submitted to the next-level/second-level supervisor. The second-level supervisor must review and approve the employee's annual performance before the annual performance review meeting is scheduled with the employee.

### 4. Annual Performance Review Meeting

A formal performance evaluation review meeting with the employee is required annually. These meetings between the employee and supervisor should be scheduled as soon as practicable once the performance review forms are reviewed and approved by the second-level supervisor. This discussion is an opportunity to accomplish multiple objectives:

- Review the completed performance review form together.
- Review the responsibilities of the position with the employee and discuss and document any necessary changes to the job description and other relevant systems.
- Discuss the employee's performance and review accomplishments as well as opportunities for improvement and growth.
- Identify and finalize goals for the next evaluation period.

The review meeting should be a collaborative discussion reflective of performance, including strengths and areas of opportunity for growth. Goals and next steps should also be discussed in preparation for the next performance year. Once the review has been discussed between the employee and supervisor, both parties will sign the performance review. The employee will acknowledge receipt of the evaluation and may add any final comments.

The supervisor will be responsible for submitting the completed copy of the annual performance evaluation to the Office of Human Resources by no later than October 15. Both the employee and the supervisor should retain a copy.

## **B. Probationary Period Performance Evaluations**

Employees must demonstrate the ability to perform the work for which employed by serving a ninety (90) day probationary period. The probationary period provides the University an opportunity to determine whether the employee is suitable and qualified for the work for which hired.

An employee may be dismissed at any time during their probationary period without going through the formal steps of the disciplinary/correction active procedure. During the probationary period, new staff members may be terminated without notice or prior warnings without regard to the procedures outlined in this policy.

Prior to the conclusion of the employee's probationary period, the supervisor will evaluate the employee's job performance and will complete a performance evaluation and review the evaluation with the employee. Supervisors are strongly encouraged to meet with the employee during the mid-point of the probationary period (approximately 45 days after the employee begins employment) so that the employee and supervisor may identify areas where additional training may be needed and/or to address concerns, if any, early on in the employment relationship. Significant concerns must be documented and maintained by the supervisor.

Under unusual circumstances, or in specific departments, the probationary period may be extended to allow the employee sufficient opportunity to fully learn the job duties. Normally, a probationary employee will not be eligible to apply for any other University position until successful completion of the probationary period. If, however, a move to a new position is permitted prior to completion of the probationary period, a new probationary period shall be served (minimum of 90-days) beginning the date of the appointment to the new position.

The supervisor is to notify the Office of Human Resources of any probationary period extensions, or dismissals; while also providing the completed copy of the probationary period performance evaluation for the employee's personnel file.

Probationary Period Dismissal is included in the University Policy, *Progressive Discipline and Dismissal*.

## **C. Performance Improvement Plan**

Supervisors may initiate a Performance Improvement Plan (PIP) when an employee's overall performance rating is less than that deemed as a successful employee, or when a supervisor determines current performance requires improvement. The plan is an opportunity to bring performance to a satisfactory level that is expected to be maintained throughout the employment.

The supervisor should consult with the next-level of supervision when initiating a PIP on an employee. Supervisors needing to address performance issues with an employee should contact the Office of Human Resources for assistance and guidance on the process prior to meeting with the employee.

The performance improvement plan should outline the area(s) of concern and accepted mode(s) of performance within general categories, including specific details, in order to effect performance improvement. The plan should also describe a review procedure and time structure of the performance improvement plan. Plans may be in effective for 30, 60 or 90 days depending upon the type of concern.

The Office of Human Resources will provide the template for the PIP. The completed, signed PIP becomes part of the employee's performance evaluation and will be placed in the employee's personnel file.

#### **D. Corrective/Disciplinary Action**

University staff members are expected to adhere to University policies and rules of conduct. If an employee engages in inappropriate behavior or violates University policies or standards of conduct (i.e., misconduct or cause), the supervisor will consult with the next-level supervisor and the Director of Human Resources to determine the appropriate course of action.

At any point during the performance management process the supervisor may utilize corrective action measures. Actions that warrant a correction action may include: employee performance is not meeting expectations; behaviors are deemed as inappropriate or unprofessional; or the employee has violated policy. This is a step in the process to clearly and formally communicate expectations.

Progressive discipline should be used to address instances of minor misconduct or failure to comply with departmental or University policies. Corrective action can range from informal feedback for minor infractions to more formal corrective measures, up to and including immediate termination of employment for serious offenses (e.g., assault, theft, confidentiality or privacy violation, discrimination or harassment, physical violence, or threats of violence). Discipline for unacceptable conduct is normally issued progressively but will be issued in accordance to the degree of misconduct; however, steps may be omitted or repeated depending on the frequency, severity, or nature of misconduct.

All performance-related information will be treated as confidential and shared only on a need-to-know basis. The University is committed to ensuring that performance management is conducted in a fair and consistent manner, and that all employees are evaluated on an objective basis. Supervisors should provide an environment that allows and encourages performance improvement, including providing opportunities for the employee to develop critical skills and behaviors to encourage professional growth. The environment can only be achieved through ongoing and consistent communication between the supervisor and the employee.

More detailed information on corrective/disciplinary actions can be found in the University Policy, *Progressive Discipline and Dismissal*.

## **E. Special Evaluations**

Employees who are on leave without pay, leave of absence, continuous FMLA (Family Medical Leave Act), short term disability, and military leave are not considered to be actively at work. Staff who are on leave without pay, leave of absence, continuous FMLA, short-term disability, and military leave during the annual appraisal review process, will receive an annual appraisal upon returning to active employment status.

An immediate supervisor can request an evaluation at any time for use to correct a particular problem or acknowledge situations involving an employee's performance.

If a supervisor anticipates rating on employee at "Developing Performer (2)" or "Unsatisfactory Performer (1)" level for any given competency or overall, the supervisor must consult with the second-level supervisor and the Director of Human Resources for assistance with special evaluations. If an employee is on a Performance Improvement Plan, the appraisal process can be temporarily suspended until the employee successfully is removed from the Performance Improvement Plan.

Employees who are not employed for the full year prior to the review, will receive a special performance evaluation for the shortened evaluation period. Please consult with the Director of Human Resources to discuss the specific requirements for special evaluations.

## **F. Roles and Responsibilities**

### **1. The employee is responsible for:**

- Understanding the performance expectations established for their position and how their duties and responsibilities contribute to the University's mission and strategic goals and objectives.
- Participating in the process of developing performance expectations.
- Completing a self-evaluation, including reporting on progress toward achievement of goals and any other relevant work information the employee would like to include.
- Performing duties of the position in accordance with established expectations.
- Actively discussing their performance with their supervisor throughout the performance cycle.
- Participating in career conversations with their supervisor.
- Timely completing any required University training (online or in-person).
- Complying with University policies and procedures.

### **2. The supervisor is responsible for:**

- Understanding and actively supporting the University's performance management process.
- Submitting performance evaluations and performance ratings in a timely manner.

- Communicating employee performance expectations and the University's core values and goals.
- Providing the employee ongoing feedback, performance coaching, and corrective action (when needed) to enhance employee performance. Regular one-on-one conversations are highly recommended to make employees aware of how they are performing throughout the performance year.
- Documenting one-on-one conversations and feedback in the applicable forms developed by the Office of Human Resources.
- Changing employee work expectations when major changes to an employee's job occur.
- Conducting interim evaluations, probationary evaluations, and annual performance evaluations in a timely manner to apprise the employee of how well they are performing.
- Encouraging the employee to complete a self-evaluation.
- Having a career conversation with each employee as part of their performance review to maintain and support achievement of their career development and goals.
- Ensuring employees timely completing any required University training (online or in-person).
- Adhering to all applicable federal and state law and University policies.

**3. Vice Presidents, Deans, and Department Heads are responsible for:**

- Providing training for supervisors to be effective in their role as manager of employee performance.
- Developing and implementing performance evaluation processes to promote fairness and consistency in ratings.
- Maintaining the integrity of and facilitating compliance with the policy on Performance Management.

**4. Office of Human Resources is responsible for:**

- Providing on-going training to all University staff employees and their supervisors on the performance management process.
- Providing support and coaching to supervisors and employees.
- Consulting in the design of performance evaluation ratings calibration processes.
- Monitoring and administering the performance management process.
- Maintaining official records and providing reports as necessary.

**G. Related Information**

This policy is not a legal document. This policy does not confer a term of employment, nor is the language intended to establish a contract of employment, express or implied, between any employee and Missouri Western State University. The University reserves the right to change, amend or terminate any of its human resources policies at any time for any reason.

Employment at Missouri Western is based on the premise of employment at will. This means that employment can be terminated with or without cause and with or without notice at any time at the

option of either the University or the employee except where employment is governed by an agreement.

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**Policy History**

| <b>Date of Review/Revision</b> | <b>Summary of Change</b>                                               |
|--------------------------------|------------------------------------------------------------------------|
| June 30, 2026                  | Modified timeline for completion of major steps in the review process. |
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