

LINCOLN UNIVERSITY

Policy:	Performance Management and Evaluation
Policy Number:	HRM – 106
Effective Date:	August 1, 2009
Revisions:	August 2011
Next Review Date:	August 2013
Review Officer:	Chief Human Resources Officer
Status:	Approved by President and Active

Introduction and Purpose

Lincoln University ("University") believes that employing the most suitable candidates to fill positions contributes to the overall success of the University. Each employee of the University, while in an active employment status, is expected to perform at their best and highest level, meet or exceed performance expectations and/or objectives, and make significant contributions to the success of the University. To that end, the purpose of this policy is to set forth the basic principles and establish a standardized process for performance management and evaluation of all employees, to promote improvement in their respective functions, to recognize exceptional performance, to address sub-standard performance, and ultimately, to bring continued improvement and enhancement in the delivery of education and support services.

1. Policy

- 1.1 Performance management and evaluation shall be an ongoing process of communication between the supervisor and the employee, focused on helping the employee achieve his or her best workplace results. The accountability of all employees for the educational advancement of the students and University operations is critical to the continued success of the University. As such, it is the policy of the University to have a fair and consistent method by which to evaluate and appraise the performance of personnel at all levels.
- 1.2 Evaluation of employee performance shall be conducted by administrators including University President, Vice Presidents, Directors, Deans, Department Chairs, Managers and Supervisors, for, but not limited to, the following purposes:
 - a. Clarification of performance goals, measurements and expectations;
 - b. Provide Supervisors a better understanding of their employees' work potential;

- c. Documentation of an official record of each employee's growth in terms of job skills, education, and experience;
 - d. Help avoid any perception of favoritism in the treatment of employees;
 - e. Motivate employees to perform at high levels;
 - f. Encourage an atmosphere of cooperation and two-way communication between administrators and employees which will support and foster effective evaluation processes;
 - g. Provide information to be used in decision-making process pertaining to employee training and professional development; and
 - h. Provide justification for making judgments about personnel actions.
- 1.3 Periodic reviews of an employee's job performance provide essential information regarding the employee's progress in meeting job expectations and career development objectives. Accordingly, the University encourages, but does not require, frequent informal and formal performance-oriented conversations between the employee and his or her supervisor. Additionally, the University encourages employees and their supervisors to establish career objectives that will further the mission and purpose of the University.

2. Performance Evaluation Administration

- 2.1 Generally, Administrators will complete an official performance evaluation for employees who are regular full-time and regular part-time reporting directly to them at least annually or as stated in the employee's applicable Collective Bargaining Agreement ("CBA"). The Administrator shall record the performance ratings and provide comments or supporting documents to justify such ratings other than "Meets Expectations" on the approved form. Additionally, the Administrator will generally conduct a scheduled performance evaluation meeting with his/her employees on or before June 15th of each fiscal year.
- 2.2 The Office of Human Resources ("HR") has the authority to maintain and distribute procedures to administer the performance evaluation process for all employees, including but not limited to: Distributing performance evaluation schedules, approved forms, and guidelines for performance evaluations and improvement planning purposes.
- 2.3 Employees having comments, questions or concerns regarding their performance evaluation should submit all communications in writing to the next level of administration along with a copy of their performance evaluation.

3. Substandard Performance

- 3.1 When an employee's performance is substandard and has been rated as "needs improvement" (marginal) or "unsatisfactory" (unacceptable), appropriate personnel action, at the discretion of the University, will be administered by the employee's Supervisor. The Supervisor will work with Human Resources to assure compliance with applicable policies of the University.
- 3.2 The University may, in its discretion, implement a performance improvement plan for the employee prior to taking adverse personnel action. The University, however, has the right, subject to the requirements of any applicable CBA, to take adverse personnel action without providing a prior opportunity for a performance improvement plan in the event that the University determines, in its discretion, that under the circumstances such improvement plan is not warranted in view of the severity of the substandard nature of the employee's performance, or that such a plan it is unlikely to be successful, or that such a plan is otherwise not in the best interests of the University.

4. Dissemination of Enforcement of Policy

- 4.1 This Policy shall be made available to all employees within the University and published on the University's Internet website.
- 4.2 The University President, each Vice President, Director, Dean, Manager, Department Chair, or Supervisor shall ensure the enforcement of the Policy within his or her assigned area(s) of oversight.

Reference

Policy HRM 117: Termination of the Employment Relationship

Questions regarding this Policy may be directed to:

**The Office of Human Resources
1570 Baltimore Pike
Lincoln University, PA 19352-0999
484-365-8059
hr@lincoln.edu**

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LINCOLN UNIVERSITY

ADMINISTRATOR PERFORMANCE APPRAISAL AND DEVELOPMENT

Purpose of Appraisal: <input type="checkbox"/> Annual Review	Employee's Name:	Appraisal Period: From To
<input type="checkbox"/> Probationary Review	Job Title:	Department / Division:
<input type="checkbox"/> Other:	Appraiser's Name:	Appraiser's Title:

Part I: Performance Appraisal

Assessment of an administrator's contribution in helping Lincoln University to achieve its goals and be successful. Describe how well the administrator has done in carrying out job responsibilities and performance expectations. Consider performance *demonstrated* with regard to the applicable Performance Elements on Page 3 when conducting this assessment.

Comments on Specific Performance Elements Below:

Work Processes and Results:

Communication:

Decision Making:

Interpersonal Skills:

Leadership:

Planning:

Human Resources Management:

Program/Project Management:

Interacting with External Environment:

Other:

Other:

Overall Comments:

Overall Performance Rating Based Upon Evaluation of Above Performance Elements :

(Rating Scale: 3—Significantly Exceeds Expectations, 2—At or Above Expectations, 1—Below Expectations)

NOTE: Attach Performance Improvement Plan if overall performance rating is 1—Below Expectations

Part II: Future Performance Expectations

Identify any particular performance expectations, job duties, special assignments and/or skills upon which the administrator should focus to reinforce his/her success and contribution to the organization. The Performance Elements listed on page 3 may help in identifying future expectations.

Part III: Future Training and Professional Development

Identify training and development opportunities in which the administrator should participate to enhance future performance.

Part IV: Organizational Support

To be completed by the administrator: What suggestions do you have as to how your supervisor, co-workers, and/or management can support you in the present job and with future career goals?

Part V: Comments and Signatures

This report is based on my best judgment.

Appraiser's Signature:

Title:

Date:

This report has been discussed with me.

Employee's Signature:

Title:

Date:

Employee's Comments:

Reviewer's Signature:

Title:

Date:

Reviewer's Comments:

NOTE: After the performance appraisal is completed and signed by all parties, it is the appraiser's responsibility to provide a copy to the employee and to ensure that the original is forwarded to and received by the Office of Human Resources for placement in the employee's personnel file.

ADMINISTRATOR PERFORMANCE ELEMENTS

The following “performance elements” should be considered, where applicable, in assessing an administrator’s performance (Part I) and determining future performance expectations and development needs (Parts II and III). Other performance elements may be added as needed.

Work Processes and Results

- Provides services that consistently meet or exceed the needs and expectations of customers
- Uses customer satisfaction as a key measure of quality
- Uses appropriate problem solving methods to improve processes
- Collects and evaluates relevant information to make decisions
- Uses good judgment
- Sets and adheres to priorities
- Meets productivity standards, deadlines and work schedules
- Produces accurate and timely work with minimal supervision
- Achieves results
- Pursues efficiency and economy in the use of resources
- Informs supervisor or appropriate others of problems identifying issues and alternative solutions

Communication

- Adapts communications to diverse audiences
- Delivers quality oral presentations
- Demonstrates verbal/nonverbal consistency
- Shares appropriate information internally and externally
- Manages meetings effectively
- Possesses effective listening skills
- Writes clearly and concisely
- Speaks clearly and concisely

Decision Making

- Takes calculated risks
- Uses a logical rational approach
- Makes timely/responsive decisions
- Takes responsibility for decisions
- Modifies decisions based on new information when appropriate
- Involves appropriate others in the decision-making process

Interpersonal Skills

- Relates well with others
- Demonstrates trust, sensitivity and mutual respect
- Provides timely and honest feedback in a constructive and nonthreatening way
- Maintains confidentiality
- Accepts constructive criticism
- Demonstrates consistency and fairness
- Negotiates effectively

Leadership

- Coaches and mentors, inspires and motivates
- Delegates responsibility with associated authority
- Demonstrates self-confidence

- Leads by example, serves as appropriate role model
- Promotes a cooperative work environment
- Sets clear, reasonable expectations and follows through
- Remains visible and approachable and interacts with others on a regular basis
- Demonstrates high ethical standards
- Gains support and buy-in through participation of others

Planning

- Maintains a clear focus on internal and external customer needs
- Plans and budgets for future resource requirements
- Anticipates problems and develops contingency plans
- Sets priorities effectively
- Establishes challenging, attainable goals and objectives
- Identifies short- and long-range organizational needs
- Looks to the future with a broad perspective

Human Resources Management

- Recruits, selects and retains capable, productive employees
- Achieves affirmative action objectives
- Promotes employee safety and wellness
- Demonstrates knowledge of personnel policies, labor agreements and merit system rules
- Promotes workforce diversity
- Recognizes and rewards good performance
- Assesses and provides for employee development and training
- Encourages and assists employees to achieve full potential
- Evaluates employees timely and thoroughly
- Takes timely, appropriate, corrective/disciplinary action

Program/Project Management

- Monitors and verifies ongoing cost-effectiveness
- Ensures quality and quantity standards are met
- Responds effectively to unforeseen problems
- Understands customer needs and ensures customer satisfaction
- Achieves results
- Uses resources efficiently and manages effectively within budget limits

Interacting with External Environment

- Works effectively within the political environment
- Exhibits knowledge and shows cooperation regarding intra- and inter-agency programs/activities/responsibilities
- Displays sensitivity to public attitudes and concerns
- Understands and cultivates stakeholder relationships
- Demonstrates team play
- Works collaboratively to achieve improved results



**Lincoln University
Employee Performance
Report (Classified)**

Employee Name:	
Job Title:	Department:
Appraisal Period:	Appraisal Date:

PERFORMANCE FACTORS	PERFORMANCE EXPECTATIONS: COMMENTS AND/OR EXAMPLES (ATTACH EXTRA SHEETS IF NEEDED)				
1 Quality of Work <i>Competence, accuracy, neatness, thoroughness.</i>					
<input type="checkbox"/> Outstanding* 5	<input type="checkbox"/> Exceed Expectations* 4	<input type="checkbox"/> Meets Expectations 3	<input type="checkbox"/> Needs Improvement* 2	<input type="checkbox"/> Unsatisfactory* 1	
2 Productivity <i>Use of time, volume of work accomplished, ability to meet schedules, productivity levels.</i>					
<input type="checkbox"/> Outstanding* 5	<input type="checkbox"/> Exceed Expectations* 4	<input type="checkbox"/> Meets Expectations 3	<input type="checkbox"/> Needs Improvement* 2	<input type="checkbox"/> Unsatisfactory* 1	
3 Dependability <i>Attendance and punctuality.</i>					
<input type="checkbox"/> Outstanding* 5	<input type="checkbox"/> Exceed Expectations* 4	<input type="checkbox"/> Meets Expectations 3	<input type="checkbox"/> Needs Improvement* 2	<input type="checkbox"/> Unsatisfactory* 1	
4 Working Relationships <i>Cooperation and ability to work with supervisor, co-workers, students, and INTERNAL/EXTERNAL clients served.</i>					
<input type="checkbox"/> Outstanding* 5	<input type="checkbox"/> Exceed Expectations* 4	<input type="checkbox"/> Meets Expectations 3	<input type="checkbox"/> Needs Improvement* 2	<input type="checkbox"/> Unsatisfactory* 1	
5 Achievement of performance goals set in previous year <i>The condition that will exist when the desired outcome is achieved.</i>					
<input type="checkbox"/> Outstanding* 5	<input type="checkbox"/> Exceed Expectations* 4	<input type="checkbox"/> Meets Expectations 3	<input type="checkbox"/> Needs Improvement* 2	<input type="checkbox"/> Unsatisfactory* 1	
DEFINITIONS OF PERFORMANCE RATING CATEGORIES					
(5) OUTSTANDING* - The employee has exceeded all of the performance expectations for this factor and has made many significant contributions to the efficiency and economy of this organization through such performance.		(4) EXCEEDS EXPECTATIONS - The employee regularly works beyond a majority of the performance expectations of this factor and has made significant contributions to the efficiency and economy of this organization through such performance.		(3) MEETS EXPECTATIONS - The employee has met the performance expectations for this factor and has contributed to the efficiency and economy of this organization.	
				(2) NEEDS IMPROVEMENT - The employee has failed to meet one or more of the significant performance expectations for this factor.	
				(1) UNSATISFACTORY* - The employee has failed to meet the performance expectations for this factor.	
*Provide supporting evidence of rating					

6 Specific Achievements			
7 Performance and Training/Professional Development Goals for the Next Appraisal Period			
8 Additional Comments by Supervisor			
Rater's Name (Print or Type)	Rater's Title	Rater's Signature*	Date Rated
Employee's Comments			
This performance evaluation was discussed with me on the date noted above. I understand that my signature attests only that a personal interview was held with me; it does not necessarily indicate that I agree with the evaluation.		Employee's Signature	Date
		Reviewer's Name and Title (Print or Type)	
		Reviewer's Signature*	
		Date Reviewed	

PERFORMANCE APPRAISAL WORKSHEET

**Any employee with overall substandard performance appraisal rating (1 or 2) will be placed on a Performance Improvement Plan. Measurable improvement of performance to a satisfactory level is a condition of continued employment during the established Plan period.*

Calculation of Overall Performance Rating

Performance Evaluation Scale				
Components	Rank	Weighted Average	Rating	Weighted Score
Achievement of Goals	1	35%		0
Quality of Work	2	25%		0
Working Relationships	3	20%		0
Dependability	4	15%		0
Productivity	5	5%		0
Total		100%	0	0

Components	Ratings
Outstanding	5
Exceeds Expectations	4
Meets Expectations	3
Needs Improvement	2
Unsatisfactory	1



Overall Performance
Rating

**Lincoln University
Office of Human Resources**

PROCEDURE FOR PERFORMANCE IMPROVEMENT

STATEMENT OF PURPOSE

Lincoln University ("University") expects its employees to perform their job duties and responsibilities at all times in a highly professional reliable fashion, and is sensitive to circumstances in which their performance is substandard and therefore, not acceptable.

The purpose of this procedure is to address and resolve performance-related issues by alerting an employee that he/she is not meeting his/her performance responsibilities as a University employee and that corrective action must be taken. Additionally, this procedure will achieve the effective operation of the University's programs through the cooperation of all employees under a system of procedures and rules applied fairly and uniformly.

PROCEDURE

1. Applicability

- 1.1 All non-faculty personnel, including but not limited to temporary, regular full and part time employees, are subject to the provisions of this procedure.
- 1.2 University employees holding a senior administrator position may be subject to the provisions of Section 3.1.2 of this procedure, solely at the discretion of the University President.

2. Definitions

- 2.1 *Performance appraisal.* An annual or interim process for assessing employee performance and to identify and resolve performance issues, plan employee career development, assess readiness for transfer or promotion, determine compensation, and improve productivity by communicating performance goals, objectives, and expectations to employees.
- 2.2 *Unsatisfactory Performance Rating.* A supervisor's assessment of evidence revealing an employee's substandard performance, which includes documented weakness(es) in a specific area(s) of job responsibility, and/or performance objectives not being met, which has

(or continues to have) a significant and/or adverse impact on students achievement, the University or departmental environment and/or operations.

3. Performance Improvement Process

- 3.1 The performance improvement process provides the supervisor and employee whose overall performance rating is “Unsatisfactory” (as indicated on an evaluation form) with an opportunity to discuss areas of deficient performance and to implement a plan to remedy such deficiencies. The performance improvement process described below shall be followed to address and/or resolve specific areas of unsatisfactory performance.
- 3.2 The supervisor makes a determination that an employee’s performance requires an evaluation, based on evidence that reveals weaknesses in a specific area of job responsibility either during the annual performance evaluation period or any time as deemed necessary by the supervisor.
- 3.3 Using the appropriate evaluation tool, the supervisor assesses the employee’s overall performance to rate the area(s) of concern that appear to be unsatisfactory.
- 3.4 In consultation with the Chief HR Officer (“CHRO”) or designee, the immediate supervisor shall prepare a performance improvement plan (“PIP”), which includes job responsibilities, performance objectives, department-specific competencies needing improvement, support to be provided by the supervisor (i.e., training, equipment, resources, etc.), and projected date(s) of follow up, review and PIP completion. The supervisor shall complete the appropriate Performance Improvement Plan form. The initial duration of the PIP shall be for a period of not less than 30 and shall not exceed 90 calendar days.
- 3.5 The initial PIP shall be prepared in conjunction with the annual performance appraisal or within 10 working days from the date of the interim performance appraisal, or as soon thereafter as is practical if the supervisor or employee is not available.
- 3.6 The initial PIP shall be reviewed by the next higher level of Administration and HR prior to presentation to the employee to ensure validity and proper preparation.
- 3.7 In a scheduled meeting, the supervisor shall provide the employee with a description of the areas of deficient performance and advise that his/her overall performance has been rated “Unsatisfactory.” The specific content of the initial PIP shall then be discussed with the employee. In

cases where controversy is expected, another Administrator shall be present when the employee is asked to sign the PIP.

- 3.8 During the meeting, the employee shall be given the opportunity to comment about the PIP. The supervisor shall consider any objections, and the PIP either shall be revised or confirmed accordingly in consultation with HR.
- 3.9 If the employee disagrees with the PIP, the employee may submit a written request to the next higher level of administration within five (5) working days to review and consider modifications to it before it becomes final. The next higher level of Administration shall retain final authority to determine whether to modify the plan as originally prepared by the supervisor.
- 3.10 The employee and the supervisor shall be signatories to the PIP establishment. The signature of the employee to the PIP signifies only that he/she has been made aware of the plan and may not necessarily agree with its contents. If the employee refuses to sign the PIP, the supervisor shall indicate such, sign and date the PIP, which will constitute that the employee has been made aware of the plan. The CHRO shall validate and monitor the existence of the final PIP.
- 3.11 The supervisor shall monitor the employee's performance through the PIP period. The supervisor shall conduct an evaluation of the employee's performance at the end of the PIP period to determine whether or not he/she has met the PIP objectives. If it is determined that the employee's overall rating is satisfactory and he/she has met the objectives outlined in the PIP, then the supervisor shall inform the employee in a formal meeting, indicate such on the PIP form, inform the next level Administrator and HR of the outcome, and forward the final PIP to the Office of HR for retention in the employee's personnel file.
- 3.12 Should the employee fail to achieve the objectives articulated in the PIP, one of the following actions may be recommended by the employee's supervisor: 1) Extension (not to exceed 30 days) or modification of the PIP; 2) reassignment to another position, one that is available and comparable to skill level; 3) a change in supervision; 4) demotion; or 5) termination of employment. Proper documentation to justify subsequent action shall be included in the recommendation and presented to the next level of Administration and the CHRO for approval prior to implementation.
- 3.13 The provisions of the process shall not be construed as preventing University Administration from taking disciplinary action against the employee, including termination during the period of the PIP, if the

employee's conduct or behavior warrants such action. In such circumstances, the provisions of the Employee Conduct Issue Resolution procedure shall be followed.

NOTE: This procedure is not intended to supercede the provisions of the University's policy on Employment Termination.

Questions about these procedures should be addressed to the Office of Human Resources at 1573 Baltimore Pike, Lincoln University, PA 19352 or 484-365-8059.

**Lincoln University
Performance Improvement Plan**

This form documents a plan for required performance improvement when an employee's overall performance has been rated as unsatisfactory.

Employee Name:	Interim Evaluation Date:
Position/Department/Location:	Previous Evaluation Date:
Supervisor / Evaluator:	Department Administrator:

Job Responsibilities / Priorities

Performance Areas Identified as Unsatisfactory	Specific Performance Improvements Required
Support to be provided by Supervisor (i.e., training, equipment, resources, etc.)	

Plan Establishment Signatures:

Employee:	Date:
Supervisor:	Date:

Reviewed By:

Department Administrator:	Date:
Human Resources Director:	Date:

Date(s) of Follow-up: _____

- ☐ Employee has achieved the required performance improvement plan described above.
- ☐ Employee has NOT achieved the required performance improvement plan describe above. The employee continues perform at an unsatisfactory level in the following area(s): _____
- _____

Recommended Action:

- ☐ Extend Performance Improvement Plan – Next Review Date: _____
- ☐ Demotion / Reclassification – Position: _____
- ☐ Transfer / Change in Supervision: _____
- ☐ Termination – Effective Date: _____

Comments:

Follow-up Review Signatures:

Employee:	Date:
Supervisor:	Date:
Department Administrator:	Date:
Human Resources Director:	Date:

After the follow-up review is completed, provided a copy to employee and send original to Human Resources for retention in the employee's personnel file.