

## PERFORMANCE EVALUATION AND REMEDIATION: BUCOM

Policy Information			
Policy# :	COMBOD.1012	Reviewed Date(s):	
Date Created:	8/31/22	Revised Date(s):	
Responsible College Administrator:	Provost / Vice President of Academic Affairs	President Council Approved Date:	9/21/22

### 1. Purpose

- 1.1. To provide each faculty member, staff and employee of Baptist University College of Osteopathic Medicine (BUCOM) timely feedback regarding job performance and an on-going process for communicating performance standards and job expectations.
- 1.2. To provide a mechanism for evaluating salary adjustments based upon merit/performance, placement within salary range, and employment classification.
- 1.3. To provide management with guidelines with an alternative approach for administering a final step of discipline in response to instances of unsatisfactory performance/conduct.
- 1.4. To assure that employees receive consistent and appropriate disciplinary treatment.
- 1.5. To affirm the organization's commitment to fair and consistent terms and conditions of employment without regard to an individual's age, sex, race, color, religion, national origin or physical or mental disability.

### 2. Policy

- 2.1. All BUCOM faculty, staff and employees are on a common performance review cycle which means all colleagues receive an annual performance appraisal in December following the conclusion of the University's fiscal/academic year.
  - 2.1.1. This process provides managers with an opportunity to discuss each employee's individual performance from the preceding 12 month performance cycle.
  - 2.1.2. Coupled with an employee's individual performance, outcome based performance indicators are used to assess team performance.
  - 2.1.3. A common review cycle is a much more effective way to promote and recognize both individual and team performance.
- 2.2. Merit increases are awarded, if applicable, based upon the performance appraisal/review overall rating which is determined by individual and team performance.
  - 2.2.1. Merit awards are then calculated based upon the employee's current base salary within his/her assigned salary range.
  - 2.2.2. Employee at the top of their salary range or who are in designated positions which fall into special pay categories/classifications are usually not eligible for an annual merit increase although they are required to receive a performance appraisal/review annually.
  - 2.2.3. Human Resources calculates performance awards and disseminates information to management for communication back to direct reports.



## 2.3. Performance Correction Plan (Remediation)

### 2.3.1. Content of a Performance Correction Plan

- 2.3.1.1. In order to assure consistency in the application of this formal disciplinary measure, the following information should be communicated to the employee (faculty) and subsequently documented in Performance Correction Plan document.
- 2.3.1.2. The employee's name, title, department and division.
- 2.3.1.3. The name and title of the member of management taking the action.
- 2.3.1.4. The duration of the focused improvement period (e.g. 30, 45, 60, or 90 days)
- 2.3.1.5. Problem area(s) or action(s) necessitating the need for improvement with associated timeliness, as well as previous coaching/counseling and/or formal disciplinary measures, if any.
- 2.3.1.6. Action steps the employee will have to improve in the specified area in order to avoid further discipline.
- 2.3.1.7. That failure to correct the problem area(s) and sustain correction will result in further disciplinary action, up to and including discharge.
- 2.3.1.8. Signature line for employee and member of management.

## 2.4. Record Keeping

- 2.4.1. Relevant comments made by the employee during the counseling interview and statements of any witness(s) should be attached to the original document when placed in the personnel file. Employees placed into a Performance Correction Plan may be given a copy of the document provided he/she signs the document acknowledging that the action was taken. Employees may not have copies of any supporting investigative notes or statements. Should an employee refuse to sign the document, their refusal must be noted and a management witness should be obtained who can verify that the contents of the plan were covered with the employee and he/she refused to sign it. In such cases, both the manager and the management witness, sign and date the document.

## 2.5. Purpose of this Policy and Request for Exceptions

- 2.5.1. The purpose of this policy is to provide basic information and general guidance regarding Performance Correction Plans. This policy cannot anticipate every situation or answer every question. Therefore, in order to retain the necessary flexibility to administer this policy, the University reserves the right to modify, change, suspend or cancel at any time, with or without written notice, any or all of this policy as circumstances may require. Exceptions to this policy must be documented and communicated in advance and be approved by the university president and the Vice President of Administrative Services or designee.

## 3. Definitions

- 3.1. Performance Review-annual review of the performance of all employees.
- 3.2. Performance Management Review-completion of a performance management document for full time and part time employees.
- 3.3. A Performance Correction Plan is a formal disciplinary measure which may be implemented following failure to improve with progressive disciplinary steps. Plans may additionally implemented for performance/conduct concerns arising in BUCOM administrative leadership. This action requires

advanced review and approval by the Vice President of Administrative Services or designee, and the President prior to implementation in order to assure consistency in the application of policy.

## **4. Procedure**

### **4.1. Annual Performance Review process**

- 4.1.1. Managers are expected to review or discuss performance appraisal ratings with the Dean, Senior Associate Deans, or appropriate Assistant Dean to ensure consensus/approval in advance particularly if there are colleagues exceeding expectations and/or failing to meet expectations.
- 4.1.2. The supervisor/manager is then responsible for scheduling and conducting a meeting with each employee to discuss his/her performance review. This meeting provides the manager/supervisor and colleague an opportunity to have a discussion regarding the past year, obtain employee feedback and begin planning for the upcoming year. The employee may also add his/her comments.
- 4.1.3. Once the manager/supervisor and the employee have met, the employee acknowledges receipt of the performance review, and it is submitted to HR. In the event that the employee declines to acknowledge the performance review, the supervisor/manager contacts Human Resources so that the review can be submitted for processing.
  - 4.1.3.1. Full-time and part-time employees including core faculty receive an annual performance review.
  - 4.1.3.1.1. Completion of performance management review document is mandatory.
- 4.2.3.2 Non-core faculty
  - 4.2.3.1.2 Non-core faculty who serve as clinical preceptors will not undergo a performance management review through BUCOM, but any who are employed through Baptist Health Care Corporation will undergo review through their primary department. This group will receive feedback from the Senior Associate Dean of Clinical Affairs regarding student evaluation of their teaching.
  - 4.1.3.1.1.1. The Senior Associate Dean of Academic Affairs or his/her designee will submit a summary table of performance reviews of any non-core clinical faculty who have taught in an in the first and second year curriculum to the office of the Provost at the end of the academic year.
- 4.1.4. If performance warrants improvement, this should be clearly documented in narrative format on the annual performance review.
  - 4.1.4.1. For full-time and part-time employees, a colleague who does not meet acceptable performance/conduct/attendance standards as sustained by the overall performance review score is typically placed in an appropriate corrective action plan in accordance with the Performance and Conduct Expectation Policy.
  - 4.1.4.1.1. In such cases, managers are expected to consult with Human Resources to discuss next steps. Such corrective action includes specific goals and timelines for correction.
  - 4.1.4.1.2. Failure to bring performance/competencies, conduct and/or attendance up to acceptable standards will lead to disciplinary action up to termination of employment.



4.1.5. New hires

- 4.1.5.1. All employees hired during the year will receive a December review placing the new employee on the common review cycle. However, for the employee hired during the year, the merit award will be prorated the first year based on the employee's actual date of hire. For example, an employee hired in March, will receive a prorated merit award of 9/12 (April-December) during the common review cycle.
- 4.1.5.2. For new hires with less than a month of service prior to the common review, they will receive a performance review the following December.

4.2. Leave of absence

- 4.2.1. If the employee is on Medical Leave Act (FMLA) or Tennessee Maternity Leave Act (TMLA) at the time of the common review cycle, leadership will complete the performance review so that the employee receives his/her merit increase, if applicable. BUCOM leadership are expected to review such performance reviews with their employees upon their return to work.

4.3. Late reviews

- 4.3.1. Late reviews are monitored by Administration to ensure there is not an adverse impact on employees who are entitled to an annual review and merit award.
- 4.3.2. Request for Exception to Policy
  - 4.3.2.1. The purpose of this policy is to provide basic information and general guidance regarding the Performance Management Guide for University employees.
  - 4.3.2.2. This policy cannot anticipate every situation or answer every question about Performance Management Guide, therefore in order to retain the necessary flexibility to administer the policy, the University reserves the right to modify, change, suspend or cancel at any time with or without written notice any or all of this policy as circumstances may require.

## **5. Related Information**

- 5.1. Classification of Employment and Employee Status
- 5.2. Hiring of Faculty and Initial Appointment to Rank Policy
- 5.3. Destruction and Retention of Confidential Records Policy
- 5.4. Service Bridging Policy
- 5.5. Performance and Conduct Expectation Policy
- 5.6. Performance Correction Plan Worksheet
- 5.7. SACSCOC Standards 2.11.1, 3.2.1 3.2.9, 3.2.10., 3.7.2., 3.7.3., 5.5., and 6.3.
- 5.8. COCA Standard 7.8 (Preaccreditation)