

# BLACK HILLS STATE UNIVERSITY

## Policy and Procedure Manual

SUBJECT: Performance Review and Evaluation

NUMBER: 4:9

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Office/Contact: Human Resources

Source: [SDBOR Policy 4:1](#); [SDBOR Policy 4:4](#); [SDBOR Policy 4:13](#)

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### 1. Purpose

This policy establishes the procedures for conducting annual Accountabilities and Competency Evaluations (ACES) for Civil Service Employees, annual performance evaluations of Non-Faculty Exempt personnel, and annual Professional Staff Evaluations (PSE) of faculty.

### 2. Definitions

- a. Civil Service Employee (CSA): Category of employee that is provided for under SDCL 3-6A-13, which applies to all positions in the executive branch of state government. The duties of a CSA are defined in the classification system and are not exempted from the Civil Service Act of South Dakota (SDCL 3.4).
- b. ACES: Accountabilities & Competencies Evaluation System mandated by the South Dakota Bureau of Human Resources for the evaluation of Civil Service Employees.
- c. ACES Guide: The guide contains the accountabilities (duties) and competencies that will be evaluated via the ACES Evaluation. This guide is similar to a job description and is not a static document. An ACES Guide will evolve and change with time.
- d. ACES Evaluation: The document used to evaluate and record the performance of an employee. This includes both Civil Service ACES annual evaluation (status employee) and Civil Services ACES Probationary 3- or 5-month evaluation (probationary employee).

- e. ACES Self-Evaluation: The optional document submitted by Civil Service employees to their supervisors prior to their performance review. This evaluation can be kept between supervisor and employee or can be submitted to HR with the final evaluation.
- f. Status Employee: Civil Service Employee that has completed the 6-month probationary period and served more than 1,040 hours of employment.
- g. Non-Faculty Exempt (NFE): Category of employee that is exempt from the Civil Service Act by virtue of their administrative and professional functions and whose primary responsibility is not academic.
- h. Performance Evaluation: the document used to evaluate and record the performance of an NFE employee.
- i. Probationary Employee: Civil Service employee that has served less than 1,040 hours of employment and has not completed the 6-month probationary period.
- j. Professional Staff Evaluation (PSE): the document used to evaluate and record the performance of faculty.

### 3. Policy

- a. All employees, no matter what category, are expected to have an annual evaluation. Evaluations are a critical communication tool to help establish expectations and observe and document performance.
  - i. CSA employee ACES evaluations are due December 1<sup>st</sup> each year. BHSU's performance cycle for CSA employees runs from January through December.
  - ii. NFE employee Performance evaluations are due January 31<sup>st</sup> each year. BHSU's performance cycle for NFE employees runs from February through January.
  - iii. Faculty employee professional staff evaluations are due October 15<sup>th</sup> or the first working day thereafter. BHSU's performance cycle for faculty covers the previous academic year, which includes fall, spring, and summer.

- iv. First year faculty professional staff evaluations are due January 15<sup>th</sup> or the first working day thereafter. BHSU's performance cycle for first year faculty covers the previous fall term. First year faculty will then fall into the regular faculty cycle.
- b. Performance management and coaching is the key to a highly engaged and involved employee. Yearly performance review provides a means of two-way communication where employees and supervisors discuss mutual expectations, review performance, and plan future goals. A review year begins with clear objectives and expectations.
- c. Unsatisfactory performance that occurs during the review year must be addressed promptly. Employees should not be surprised with unsatisfactory performance ratings or comments on an evaluation. It is likely that an existing disciplinary action is taking place such as a work improvement plan, letter of reprimand, verbal warning, written warning, etc. These situations are especially important to be documented.
- d. During the yearly evaluation, both the employee and the supervisor should review the position description to make sure the duties, responsibilities and expectations of the position are current.

#### 4. Procedures

- a. Each year, supervisors need to track their employee(s) performance by documenting behavior, accomplishments, performance, and projects that will be used in the yearly evaluations. Documentation is the foundation of an evaluation. Specific and descriptive situations throughout the year will make the evaluation process go much smoother. Remember the basics on documentation: situation, action, outcome.
- b. CSA employees must be evaluated by utilizing the Accountabilities and Competencies Evaluation System (ACES). These are to be completed yearly and are due in the BHSU Human Resources office on December 1<sup>st</sup>. These yearly evaluations are to be conducted on all status employees who have completed the 1,040 hour probationary period. The ACES system is designed to encourage two-

way communication, which includes recognition and problem-solving opportunities for both the supervisor and employee.

- i. ACES annual evaluations will be completed by the supervisor, reviewed and approved by the next level supervisor, and submitted to Human Resources on or before December 1st. The submitted ratings should include appropriate comments and examples to support the recommended rating.
- ii. All ACES ratings submitted by the supervisor are considered preliminary until reviewed by the next level supervisor, Human Resources staff, the Board of Regents, and the Bureau of Human Resources. During the review process, guides may be returned to the supervisor for revisions or changes. Prior to the completion of this review of the preliminary ratings, supervisors may have general discussions with an employee about their performance, but employees should not be informed of the supervisor's recommended ratings. Supervisors will be notified by Human Resources when the ratings review is complete, after which the annual performance meeting may occur. The annual performance review meeting to inform the Civil Service employee of the finalized ratings will typically be conducted by the supervisor early in the following calendar year.
- iii. The employee may choose to submit their own performance comments and self-ratings to their supervisor prior to the supervisor's submission of their evaluation. Employees may also request a face-to-face meeting with their supervisor to discuss their self-review.
- iv. At the beginning of each calendar year, supervisors will work with their Human Resources representative to review and/or create the ACES Guide and Evaluation template for their CSA employee(s). The completed Guides are available to the supervisor and employee to document their performance throughout the rating period.
- v. CSA yearly timeline
  1. Step 1

- a. The supervisor will monitor the employee's performance on a periodic basis and document performance throughout the year (January through December).

2. Step 2

- a. Near the end of the performance cycle, the supervisor will ask the employee to complete and return a self-evaluation with an established return date. The self-evaluation should take place sometime in November, prior to the supervisor completing their review of the employee.

3. Step 3

- a. ACES annual evaluations will be completed by the supervisor, reviewed and approved by the next level supervisor, and submitted to Human Resources on or before December 1st. The submitted ratings should include appropriate comments and examples to support the recommended rating. Supervisors may have a discussion with the employee about performance, but should NOT discuss ratings with them until notified by Human Resources.

4. Step 4

- a. The annual performance review meeting to inform the Civil Service employee of the finalized ratings will typically be conducted by the supervisor early in the following calendar year. Human Resources will notify supervisors when they are able to hold the annual performance review meeting.
- c. NFE employees must be evaluated by completing the Non-Faculty Exempt Evaluation form located on the BHSU-HR website or other form or memo at the discretion of the supervisor. These are to be conducted yearly and are due in the BHSU Human Resources office on or before January 31<sup>st</sup>. These yearly evaluations are to be completed on all regular employees, including both part-time and full-time staff. This evaluation form is designed to review performance

objectives, professional development and plan future goals. It also provides the supervisor with a formal method of evaluating employees' strengths and opportunities in regard to their position descriptions, objectives, and general competencies.

- i. Employee self-evaluations should be completed and to the applicable supervisor prior to the supervisor completing their evaluation.
- ii. Final evaluations will be completed by the supervisor and a subsequent meeting between the employee and supervisor should take place. Signed copies of the evaluation by employee and supervisor should be reviewed and approved by the next level supervisor and submitted to Human Resources on or before January 31<sup>st</sup>. The submitted evaluation should include constructive feedback, documentation, accomplishments, appropriate comments, and examples to support the evaluation.
- iii. NFE yearly timeline
  1. Step 1
    - a. The supervisor will monitor the employee's performance on a periodic basis and document performance throughout the year (February through January).
  2. Step 2
    - a. Near the end of the performance cycle, the supervisor will ask the employee to complete a self-evaluation with an established return date. The supervisor will then complete the performance appraisal in the most objective manner possible based on the performance data collected throughout the year, information obtained from the self-evaluation form, and the performance goals. The self-evaluation should take place sometime in December or January, prior to the supervisor completing their review of the employee.

3. Step 3

- a. The supervisor will schedule a time with the employee for the appraisal meeting to discuss the performance evaluation and future areas of development. Discussion should center on performance observed, essential job functions, and the establishment of performance goals. These goals should be recorded on the evaluation form or memo. The employee will be given the opportunity to write comments concerning the ratings and feedback before signing the evaluation. A copy of the signed evaluation will be given to the employee. The original evaluation will be forwarded to the next level supervisor for review and signature, and then to Human Resources by January 31.

4. Step 4

- a. Supervisors will be informed of the salary policy and receive instructions for recommending salary adjustments in March. The completed evaluation must be in the Human Resources office on or before January 31, and prior to any adjustment recommendations.
- d. Faculty members will receive a performance evaluation and review on an annual basis. These will be conducted by the faculty member's immediate supervisor. All faculty will submit the professional staff evaluation form.
- i. Faculty members will be notified of current department standards and performance expectations no later than August 1<sup>st</sup>.
  - ii. The evaluation form will include an assessment of faculty performance in the areas of teaching, research and scholarship, and service.
  - iii. Faculty members serving on tenure track appointments will propose their professional development plans in the areas of teaching, scholarship, and service. These plans will be submitted with the PSE form according to BHSU guidelines.
  - iv. Professional Staff Evaluation (PSE) yearly timeline

1. Step 1
  - a. Completed PSE forms will be submitted to the department chair by October 15 or the first working day thereafter.
  - b. The department chair will provide written feedback to the faculty member for November 15.
    - i. The faculty member will have until January 15 to provide any comments based on the supervisor's comments.
    - ii. If the faculty member requests feedback from a peer group evaluation, this process must be completed by January 25.
  - c. The signed PSE forms will be forwarded from the Chair to the College Dean by January 25.
  - d. PSE forms will be reviewed and signed by the College Dean, and forwarded to the Provost by February 14.
    - i. Any comments by the faculty member to the College Dean, Provost, and/or President must be submitted by March 1.
  - e. The Provost will complete the review process no later than March 10.
- v. Professional Staff Evaluations (PSE) yearly timeline, first year faculty
  1. Step 1
    - a. First year faculty members will submit their completed PSE forms to their department chair by January 15 or the first working day thereafter.
    - b. The department chair will meet with the faculty member to discuss and provide written comments on or before February 15.
      - i. Any comments by the faculty member to the College Dean, Provost, and/or President must be submitted by March 1.



- c. The Provost will complete the review process no later than March 10.

5. Responsible Administrator

- a. The Director for Human Resources is responsible for annual and ad hoc review of this policy and its procedures. The University President is responsible for the approval of this policy.

SOURCE: Approved by President Laurie Nichols on 12/7/2020.