



# Brock University Graduate Students' Association

## Document 029C

The Graduate Students' Association Executive & AVP Performance Appraisal Policy

### Name:

1. This Document shall be known as the "Executive and AVP Performance Appraisal Policy"

### Purpose:

2. To outline the structure for evaluating performance of the Officers of the Graduate Students' Association (GSA) and provide guidance for current team members in setting expectations for those under review as well as to those conducting the review.
3. To provide assurance to the Board of Directors, and by extension the GSA Membership, of the performance of GSA Officers throughout their term of office.
4. To provide assurance to the GSA Officers of the performance of all Associate Vice-Presidents (AVPs), regardless of their immediate supervisor.
5. To ensure Officer compensation is reflective of performance, and that all members of the team are remunerated fairly.

### Definition:

6. The terms "review" and "appraisal" are to be considered interchangeable within the context of this policy.
7. The terms "Spring/Summer", "Fall", and "Winter" shall refer to "Term 1", "Term 2", and "Term 3" respectively within the context of an executive or AVP's annual term of office. The terms are to be considered interchangeable within the context of this policy.
8. The term 'SA/AP' shall refer to the Strategic Action / Annual Plan, as defined and outlined in Document 037.

### Structure:

9. This policy is divided into sections pursuant to purpose, with three additional components labeled as appendices. Despite this structure all components are to be considered policy within the definition outlined in Document 010.

### Roles Eligible for Review:

10. This document shall only apply to positions identified below. Positions, particularly those of who are not part of the Executive Committee, are to be reviewed in conjunction with any additional GSA legislation, and only subject to high-level requirements specifically stipulated.
11. Roles considered to be in for review under this policy are as follows:
  - a. The GSA President & CEO
  - b. The GSA Vice-President, Student Engagement (VPSE)
  - c. The GSA Vice-President, External Affairs (VPEA)
  - d. The GSA Vice-President, Communications & Advancement (VPCA)



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- e. The GSA Vice-President, Equity & Inclusion (VPEI)
  - f. The GSA Associate Vice-Presidents (AVPs)
12. Roles not considered to be in scope for review under this policy are as follows:
- a. GSA Deputy President
    - i. The GSA President, in consultation with the GSA Executive Committee, may develop additional criteria for reviewing the performance of the office holder in conjunction with Document 021.
    - ii. Review of the performance of the Deputy President may take place concurrently with the review for that position portfolio, but as the role does not have financial implications, the performance appraisal for that portfolio shall provide feedback only.
    - iii. Review of the Deputy President role shall not have any impact on the financial appraisal for the individual in their Vice-Presidential role.
  - b. GSA Past-President
    - i. Except in cases where it has been predetermined and outlined within Document 022.
  - c. GSA Executive Director & CAO
  - d. GSA Non-Executive Staff
    - i. The Executive Director shall be responsible for developing and enforcing the process for the review and appraisal of all GSA non-executive staff. This process shall include consultation with the GSA President and be further outlined in GSA Policy.

#### **Role Appraisers/Reviewers:**

13. There shall be different sets of performance appraisers, dependant on the role under review. The appraisers shall be as follows:
- a. The President:
    - i. Shall be evaluated by the Chair and Vice-Chair of the Board of Directors, along with the Executive Director. Appraisers may choose to have their review informed by the Executive, the Board, or any other direct reports.
  - b. The Vice-Presidents:
    - i. Shall be evaluated by the President and the Executive Director. Appraisers may choose to have their review informed by the Executive, the Board, or any other direct reports.
  - c. The Associate Vice-Presidents:
    - i. Shall be evaluated by their immediate supervisor and the President. If the President is the immediate supervisor, then they shall be accompanied by another member of the executive committee.



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#### **President and Vice-President Process:**

14. During the annual transition of the GSA Officers, each member of the team shall meet with their respective reviewers and outline their goals for the term. These goals shall normally compliment the larger goals that the Executive Committee has set as part of the SA/AP process, in conjunction with the GSA's strategic plan. These goals may include elements of personal and professional development.
15. Goals shall normally be term based in nature, however in extenuating circumstance annual goals may be evaluated as part of the performance scorecard and reviewed for progress at the end of each term as part of the review process, providing that this was agreed by both the reviewers and reviewee prior to the start of that term. No more than one (1) of the five (5) metrics identified in a performance scorecard, per term, may be annual in nature.
16. The reviewers are to utilize a performance review matrix, which shall include each of the pre-agreed goals along with a percentage value and weighted average. The outcomes of reviews held during Term 1 and Term 2 shall respectively inform compensation for Term 2 and Term 3.
17. The President and Vice-Presidents shall normally receive full compensation for Term 1 given that no review will have been conducted prior to the conclusion of the term.
  - a. Officers appointed or elected to a start date after May 1<sup>st</sup> shall normally receive full compensation for the remainder of their first term in office (be it term 1, 2 or 3).
  - b. Regardless of start date, Officers appointed or elected to a start date after May 1<sup>st</sup> shall have their review and compensation schedule follow the same term cycles applied to other Officers.

#### **Associate Vice-President Process:**

18. Upon appointment, AVP's shall establish term-based goals with their immediate supervisor(s); this shall normally take place in May of each year.
19. An AVP's direct supervisor(s) shall be responsible for any further documentation relating to Document 027 and individual job descriptions.
20. Regardless of start date, AVPs appointed to a start date after May 1<sup>st</sup> shall have their review schedule follow the same term cycles applied to other Officers.

#### **Review Cycle:**

21. Performance appraisals are to be conducted once per term and shall normally be done two weeks prior to the end of that term. Terms shall occur along the designated timelines:



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- a. Term 1: May 1<sup>st</sup>-August 31<sup>st</sup> (Spring/Summer)
- b. Term 2: September 1<sup>st</sup>-December 31<sup>st</sup> (Fall)
- c. Term 3: January 1<sup>st</sup>-April 30<sup>th</sup> (Winter)

#### **Outcomes:**

22. The reviewers may determine any measure of response to the reviewee that they deem appropriate. These may include, but are not limited to:
  - a. adjustments to remuneration and/or hours worked,
  - b. adjustments to goals and/or expectations,
  - c. adjustments to communication and/or oversight,
  - d. adjustments to reporting and/or oversight, and
  - e. any other adjustments related to performance.
23. If more serious recommendations are required in response to the conduct that has been reviewed, the reviewers are obligated to make this recommendation known to the Board through the Chair and Vice-Chair. Such action may be discussed at any regular board meeting or be the subject of a special board meeting. In all such cases, the recommendation will be discussed in-camera and subject to any additional requirements of Document 001.

#### **Appeals Definition:**

24. In all cases, efforts should be focused on ensuring agreement in the outcome of an evaluation, and utilizing the information generated to inform learning and improvement above and beyond punitive action. Decisions taken by reviewers shall be in the interests of both the individual under review and the GSA, with respect of the GSA and its membership kept at the forefront.
25. There may be instances where disagreement is unmanageable through the review process and subsequently require redress in the form of an appeal.
26. Appeals may be launched by either the President, a Vice-President or an Associate Vice-President if they feel that the outcomes of their performance appraisal do not accurately reflect the work they have undertaken or the nature of the conversations held during the review process.
27. There shall be two different grounds for appeal:
  - a. Process: whereby an alleged infraction of the process as outlined in relevant GSA legislation has been violated, and as such, has impacted the outcome of the performance appraisal process.
  - b. Content: whereby the outcome of the process is alleged to be unfair and not reflective of the conversations undertaken during the review or the performance of the individual being reviewed.
28. An individual may only seek an appeal if all other methods of redress have been employed, and they have been unable to address their concerns directly with the reviewers.



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#### Appeals Process:

29. The President may appeal a decision relating to their performance to the Board of Directors.
  - a. In an appeal, the reviewers shall be asked to present their case as defendants. The plaintiff (President) and the defendants (Chair, Vice-Chair) shall not be permitted to vote. The Chair of the Governance, Elections and Nominating Committee shall be asked to conduct the sessions, but should they hold conflict of interest, the Board shall elect a temporary chair from among their membership.
30. A Vice-President may appeal a decision relating to their performance to the Executive Committee.
  - a. In an appeal, the reviewers shall be asked to present their case as defendants. The plaintiff (Vice-President) and the defendant (President) shall not be permitted to vote. The Chair and Vice-Chair of the Board shall be present as voting members, with the Chair acting as chair of the appeal.
31. An Associate Vice-President may appeal a decision relating to their performance to the Executive Committee.
  - a. In an appeal, the reviewers shall be asked to present their case as defendants. The plaintiff (AVP) and the defendant (VP) shall not be permitted to vote. The President shall act as chair of the appeal, but in instances where the President holds conflict of interest, the Chair of the Board shall be present as a voting member and act as chair of the appeal.
32. Once the reviewee has exhausted any processes relating to the address of their concerns, they may contact the individuals listed below to initiate a formal appeal.
  - a. President: shall contact the Board Chair, Vice-Chair and Chair, Governance, Elections and Nominating Committee of their intent to submit an appeal.
  - b. Vice-President: shall contact the Board Chair and Vice-Chair of their intent to submit an appeal.
  - c. Associate Vice-President: shall contact the President and Board Chair of their intent to submit an appeal.
33. All appeal submissions must include the date(s) of the alleged infraction(s), evidence to support their claims and rationale as to why an appeal should be granted. All submissions are to be held in strict confidence.

#### Appeals Adjudication:

34. All appeals adjudications are to be held in-camera.
35. The adjudicating body shall hear an appeal from the plaintiff and an appropriate response from the defendant(s). The adjudicating body shall be responsible for establishing rules of conduct prior to hearing the appeal, and the appeal's chair shall ensure these rules are followed. These rules must be based around



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principles of fairness and good governance, with presumption of innocence over guilt and best interests of the GSA treated as tantamount.

36. Evidence must be provided to support the appeal and must directly address conduct alleged by the plaintiff. Evidence given must provide proof beyond reasonable doubt.
37. Once plaintiff and defendant(s) have made their case, they shall submit to questioning by the members of the adjudicating body. Questions must seek clarity or additional information; they may not be used to attack either party.
38. Upon exhausting questions from the adjudicating body, both parties shall be asked to leave, whereby the adjudicating body shall deliberate until a decision is determined.
39. A simple majority motion (50%+1) is required to uphold or overturn an appeal.

#### Miscellaneous:

40. No element of this policy may overrule the authority of the Board of Directors as it pertains to the appointment and termination of an Officer of the Corporation. Article Eighteen and Article Nineteen of Document 001 shall specify minimum requirements for the recall and removal of Officers, and any appointments to fill these vacancies.
41. The Board may choose to exercise its authority under Document 001 at any time, regardless of the outcome of a performance review.



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### Appendix A – Scope and Process

#### Nature and Scope:

1. The Brock University Graduate Students' Association is committed to a compensation system that:
  - a. Ensures that all student executives receive fair and equitable salaries.
  - b. Reflects individual executive roles, duties, responsibilities, education, and experience and job performance.
  - c. Provides accountability to the Board of Directors and the broader membership that compensation is consistent while goals are set and achieved.
2. This procedure shall apply to all voting members of the GSA Executive Committee, whether elected or appointed, and shall not apply to the Executive Director or the Past President as outlined in relevant legislation.

#### Preamble:

3. To actuate the GSA's commitments around compensation for student executive roles, performance will be evaluated on a term-by-term basis.
4. Each executive should be given the opportunity, thrice annually, to review their scorecard and the metrics used for evaluation to be aware of where they are performing within their individual scorecard.
5. Each executive's evaluation scorecard will be developed jointly by members of their appraisal team and themselves. Once established, these metrics should be reviewed for effectiveness and accuracy on an as needed basis.

#### Metrics and Explanation:

6. Maximum compensation for each role shall be determined by the Board of Directors and stipulated within the job description of each executive portfolio (Documents 020, 023, 024, 025, and 026).
  - a. The President shall receive a maximum total of 10 hours per week over their term of office.
  - b. The Vice-President's shall receive a maximum total of 5 hours per week over their term of office.
7. The Board of Directors may adjust the compensation for any executive position above the stated maximums stipulated in Appendix A, Section 6a and 6b, provided that any such adjustments adhere to the following criteria:
  - a. Any adjustments beyond the stated maximums that may be a violation of relevant University policies must be approved by the Faculty of Graduate Studies (FGS) as such policies may apply to an executive's student status.



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- b. Any adjustments must be conducted during the budgeting process of the GSA and approved by the Board prior to the fiscal year in which they are proposed to take effect.

#### **Process:**

8. The process shall incorporate three (3) specific terms, with dates corresponding to the beginning and end of each:
  - a. April: As part of the annual transition outlined in Document 028, the Strategic Action/Annual Plan (SA/AP) shall be developed in conjunction with the goal setting for Term 1 of the three-term cycle (Spring/Summer).
    - i. Each executive shall meet with their performance appraisal team and establish their goals for the Spring/Summer term.
    - ii. Goals should be specific, measurable, achievable, relevant, time-bounded.
    - iii. This process shall inform the development of the SA/AP presented to the Board of Directors for approval at their first official meeting in May.
  - b. Once goals have been set for the executive team, further goal-setting can take place for any Associate Vice-President (AVP) positions identified for creation during their annual transition.
  - c. Middle/Late August:
    - i. Each executive shall meet with their performance appraisal team and review the performance of the Spring/Summer term.
    - ii. Each member of the appraisal team shall review the individual's performance against goals outlined in the performance scorecard. The executive member shall conduct a self-evaluation against goals outlined in their performance scorecard.
    - iii. The outcome of this appraisal will set the rate of compensation for the Term 2 (Fall).
    - iv. At the Spring/Summer term appraisal meeting, the incumbent should be prepared to present their goals and rationale for the coming term, and the appraisal team will set these metrics at the same time.
  - d. Early/Mid December:
    - i. Each executive shall meet with their performance appraisal team and review the performance of Term 2 (Fall).
    - ii. Each member of the appraisal team shall review the individual's performance against goals outlined in the performance scorecard. The executive member shall conduct a self-evaluation against goals outlined in their performance scorecard.
    - iii. The outcome of this appraisal will set the rate of compensation for the Term 3 (Winter).





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- iv. At the Term 2 (Fall) appraisal meeting, the incumbent should be prepared to present their goals and rationale for the coming term, and the appraisal team will set these metrics at the same time.
- e. Early/Mid April:
  - i. Each executive shall meet with their performance appraisal team and review the performance of Term 3 (Winter).
  - ii. Each member of the appraisal team shall review the individual's performance against goals outlined in the performance scorecard. The executive member shall conduct a self-evaluation against goals outlined in their performance scorecard.
  - iii. The outcome of this appraisal will not inform the rate of compensation for the subsequent term, rather it will support personal and professional development of the individual and assist in executive transition and onboarding for the incoming executive team as they establish their term goals and annual plan.
  - iv. At the Winter term appraisal meeting, where possible, the incumbent should be prepared to present recommendations for their successor on issues and learnings gathered throughout their term related to their performance metrics.
- f. All executives shall receive full, unadjusted compensation for the Spring/Summer term). Performance during this period will be used to inform compensation for the term in advance of September 1<sup>st</sup>. Any adjustments to compensation will take effect for the upcoming term.



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### Appendix B – Guidance and Accountability

1. Individual performance will be reviewed in the final weeks of each term and compensation will be adjusted accordingly. The following table provides guidance for any adjustments to remuneration based on the outcome of a performance appraisal:

2. **Average Evaluation Score Card (Ranked between 0 and 100):**

Score (Points)	Percentage Adjustment
80-100	No adjustment to compensation
70-79	Minor adjustment, $\leq 10\%$ of base
60-69	Middle adjustment, $\leq 25\%$ of base
50-59	Major adjustment, $\leq 50\%$ of base
0-49	Evaluation of continued organizational fit to be undertaken by the Board of Directors

3. The Board shall be notified, through an *in-camera* session, of any term-based performance that is found to result in less than eighty percent (80%) of the agreed upon metrics. The Board may consider further action or intervention at that time.
4. If an executive's job description or position changes significantly throughout the course of a term they may request their goals and evaluation be re-evaluated by their appraisal committee.
5. Should an appraisal result in adjusted compensation for the following term the executive member implicated shall always be eligible to return to full compensation for any subsequent term.
6. Scores are determined by measuring metrics (achievement goals) set in each executive's scorecard (see Appendix C of Document 029). Each of these goals will be assigned a value out of 100, indicating the priority of these goals as well as the weight each will have on the final scorecard calculation.
7. This achievable would then be translated to a score out from 0-100 based on the level to which the appraisal team feels the objective has been achieved.
8. No score will be provided for performance of any metric that is not a whole number.
9. If any score results in a number which is not whole (as is the case in the sample scorecard in Appendix C of this policy) it shall be rounded either up or down, in accordance with the following formula;
  - a. 0.50 or higher shall round up to the next closest whole number.
  - b. 0.49 or lower shall round down to the next closest whole number.
10. Individuals may appeal the results of their appraisal under the outlined in this policy.



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### Appendix C – Scorecard Development

1. Each scorecard shall contain only five metrics;
  - a. Metric 1: shall reflect general positional duties as outlined in the respective individuals Job Description/Profile Policy/AVP Procedure. It shall account for 40% of the total weight of all metrics. Achievement of this metric shall be at the discretion of the appraisal team and their assessment of overall position performance.
  - b. Metric 2: shall reflect any additional responsibilities or goals assigned by the Board or Executive Committee. It shall account for 10% of the total weight of all metrics. Achievement of this metric shall be binary and tied to specific deliverables as outlined by the Board or executive when the additional responsibility or goal was established.
  - c. Metrics 3 & 4: shall reflect two of the SA/AP goals that have been identified for that position, for that term. They must be SA/AP goals that the incumbent has been identified as the lead position on. The combined weight of these two metrics shall account for 40% of the total weight of all metrics. Achievement of these metrics shall be scored as binary against the timeline identified within the SA/AP.
  - d. Metric 5: shall reflect a personal/professional goal identified by the incumbent and the appraisal team.
2. Other than Metric 1, the remaining metrics shall not normally carry over from one term to the next. Achievement must be evaluated within the term they are set. Consideration may be provided to the inclusion of one (1) annual goal as a maximum under the restrictions of Section 15 of this policy.
3. In the event that an individual does not have at least two (2) SA/AP goals attached to their position within a given term the appraisal team may establish an additional goal related to their portfolio, provided that it adhere to the same restrictions identified for Metrics 3&4 as outlined previously.
4. The following is included as a default template, designed to be modified each term by the executive in conjunction with their performance appraisal team, as part of the goal setting and review process, as outlined in Document 029.



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**PLEASE NOTE: The following Excel sheet is macro enabled, simply double click and you can modify the document to suit new or modified metrics. It will auto calculate and repopulate.**

Metric #	Metric Weight	Executive Score	Score Out of Metric Total	Explanation (Consolidated)
Metric 1	40%	100	40	General Positional Duties
Metric 2	10%	100	10	Additional Board/Exec Assignments/
Metric 3	20%	100	20	SA/AP Goal (#1)
Metric 4	20%	100	20	SA/AP Goal (#2)
Metric 5	10%	100	10	Individual Goal (Personal/Professor
Total Executive Score		500	100.00	
			100	
Max Executive	100%	500	100	