
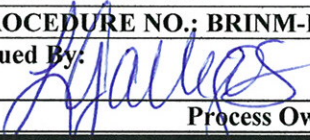
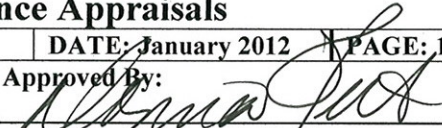


CONTROLLED DOCUMENT

		INTERFACE CONTROL DIRECTIVE	
PROCEDURE FOR:		Performance Appraisals	
PROCEDURE NO.: BRINM-ICD-203	REV. NO.: 1	DATE: January 2012	PAGE: 1 of 4
Issued By:  Process Owner		Approved By:  Authorizer	

1.0 SCOPE

This interface control directive (ICD) applies to all Biomedical Research Institute of New Mexico (BRINM) operations. ICDs provide instructions for all program personnel, including principal investigators (PIs) and contract personnel, needed to meet BRINM's mission, operations, and regulatory requirements. This ICD describes BRINM's process for identifying and hiring new personnel to support its mission and projects.

This SOP describes BRINM's process for orienting and evaluating new and existing project personnel. BRINM's process for hiring project personnel is described separately in BRINM-SOP-501.

2.0 Definitions

Accounts/Projects – These terms will be used synonymously throughout this SOP.

Cooperative Research and Development Agreement (CRADA) refers to an agreement between a federal research organization and one or more federal or non-federal parties to work together as partners on a research project of mutual interest.

3.0 PROCEDURE

This SOP describes BRINM's process for managing project support personnel. Project support personnel are BRINM employees who work directly on VA Medical Center (VAMC) or VA Cooperative Studies Program (CSP) projects and who are paid from project funds. This SOP describes BRINM's procedures for employee orientation and evaluation, broken down for each personnel type.


3.1 General

The project personnel management process begins once a new employee has been hired and all required paperwork completed as described in BRINM-ICD-201, Hiring. Upon hiring, the Human Resources (HR) Administrator (or designee) guides the employee through an initial orientation and completing all required documentation. This process continues throughout employment until termination, as shown in Figure 2.

3.2 Evaluation

BRINM's procedures require evaluating the performance of all personnel. These evaluations are handled differently for BRINM CSP and VA project support personnel. The evaluation process for each is described in paragraphs 3.3.1 – CSP Project Support Personnel, and 3.3.2 – VAMC Project Support Personnel. The BRINM Executive Director (ED) is ultimately responsible for personnel evaluation activities.

BRINM Proprietary Information

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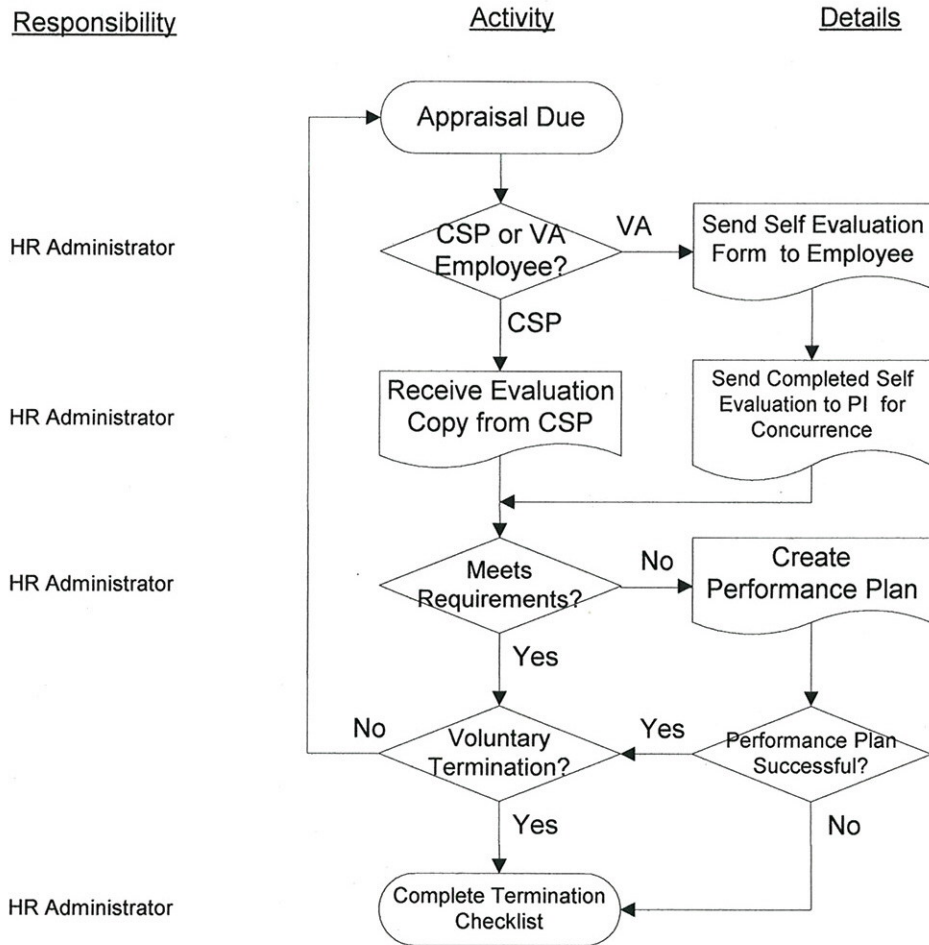



Figure 1 – Personnel Orientation and Evaluation Process

3.2.1 Evaluation – VA CSP Project Support Personnel

CSP project support personnel are evaluated directly by the project Principal Investigator (PI) through the CSP HR Office. However, the HR Administrator and PI may conduct a “for-cause” evaluation at any time. The CSP HR Liaison submits a copy of the evaluation to the BRINM HR Administrator. If the PI does not agree with the evaluation, the HR Administrator may request a conference to discuss any performance issues.

For those personnel who meet all requirements in their performance evaluation, this process repeats until the CSP employee submits a voluntary termination notice or until the funded project is terminated.

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3.2.2 Evaluation – VAMC Project Support Personnel

VA project support personnel are required to complete a Self Evaluation form on an annual basis. However, the HR Administrator and PI may conduct a “for-cause” evaluation at any time. The HR Administrator forwards the completed Self Evaluation form to the appropriated PI for concurrence. If the PI does not agree with the evaluation, the HR Administrator may request a conference to discuss any performance issues.

For those personnel who meet all requirements in their performance evaluation, this process repeats until the VA employee submits a voluntary termination notice or until the funded project is terminated.

3.3 Performance Issues

Whenever an employee does not meet all requirements in their performance evaluation, the HR Administrator, in consultation with the PI or CSP supervisor, generates a Performance Improvement Plan. For CSP or VA project support personnel, the HR Administrator monitors and administers the Performance Improvement Plan jointly with the PI or CSP supervisor. Each performance improvement plan shall include, at a minimum, the following items:

- A full description of the performance deficiencies, along with how they were measured or identified
- A full description of the expected performance parameters, including measures
- A list of goals and objectives to be accomplished
- A schedule for re-evaluating the performance
- Warning of further consequences if the performance does not improve to acceptable levels

An unsuccessful second performance evaluation, in which the employee still does not meet requirements, may result in further disciplinary action including suspension or termination.

3.4 Termination Process

Upon termination of any employee, the HR Administrator completes the BRINM Termination Checklist. The Termination Checklist ensures that all BRINM, CSP, and VAMC property (i.e. laptop, documents, records, badge, parking permit, etc.) have been returned and all access to physical and intellectual property has been blocked (i.e. keys, passwords, etc.). The HR Administrator or designee also conducts a formal exit interview, although an exit interview is not required with “for-cause” terminations as described in Paragraph 3.4.

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4.0 PROCESS RECORDS

Records generated provide valid data to ensure that required processes described in this SOP, have been effectively completed. The following records for this process:

- Signed acceptance of required policies and procedures
- Performance reviews and performance improvement plans (if applicable)
- Completed termination checklist

EXCEPTIONS

Known exceptions to this procedure.

REFERENCES

- Handbook
- Checklist
- 40, Human Resources
- 01, Personnel Hiring
- 10, Ethics
- Acquisition Regulations, Applicable Sections
- Management and Budget Circular A-110

processes, as constitute form

- Sign
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5.0 EXCEPTIONS

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6.0 REFERENCES

- BRINM Handb
- BRINM NPC O
- BRINM-SOP-5
- BRINM-SOP-5
- BRINM-SOP-5
- Federal Acquis
- Office of Mana