Pellissippi State Community College

Performance Evaluation Process
(Administrative and Support Staff)

January 2016
The Performance Evaluation Process serves as a formal mechanism for ensuring that all staff members understand their individual assignments and receive feedback on how well they are performing their jobs. The process also provides a platform for employee self-evaluation and for an employee to provide feedback to his/her supervisor or campus dean (if applicable).

In order to create an environment conducive to excellence, supervisors must provide channels of two-way communication at all levels of our organization. Supervisors must provide ongoing leadership by giving employees honest feedback on their job performance, encouraging all employees to maintain open channels of communication, and working together to achieve established institutional goals.

Performance management is a conversation between two people, three if the employee is subject to dual reporting. To that end, performance evaluations should be discussed with, not read, to the employee. The performance evaluation should not be handed to the employee to read without the supervisor discussing the contents first. It is very important that the supervisor's assessment of the employee is accurate and can be supported. Supervisors should not rely on hearsay, unsubstantiated assessments of others, or conjecture in the assessment of an employee.

Guidelines below each section explain how these processes will affect those subject to dual reporting.

All supervisors must attend annual performance management training to ensure proper evaluation of all employees.

These are the major goals of our performance evaluation process:

- Improve individual and institutional performance by providing appropriate direction and feedback to employees

- Enhance the institution’s performance planning process by establishing accountability for results at the individual level

- Provide the data needed to make and objectively support operational decisions (e.g., promotion, retention, or termination)
Maximize employee job satisfaction and performance by creating a positive work environment built on trust, support, and open communication between the employee and the supervisor.

NOTE: Any reference to race, sex, disability, etc. must be avoided. Ratings must be based strictly on performance.

FORMS

- **Mid-Year Evaluation or End of Probationary Period**-(November/December or the end of the probationary period)
- **Employee Performance Input**-used only in conjunction with the Mid-Year Evaluation (November/December)
- **Annual Performance Evaluation**-May 15 to June 30

PROCESS

Supervisors will have two opportunities to evaluate employees during the fiscal year (July-June). Depending on the circumstances of each employee, those opportunities are as follows:

1. **End of Six-Month Probationary Period or Mid-year Performance Evaluation** (November/December)
2. **Annual Performance Evaluation** (May 15th to June 30th)

**End of Six-Month Probationary Period**

If an employee is new to the college, or in a new position, he/she will receive an evaluation at the end of the six-month probationary period. Supervisors will use the "Mid-Year Evaluation or End of Probationary Period" form for this evaluation.

A new employee is granted a six-month probationary period upon hire whereby observable performance can be assessed. During this time the employee’s employment may be terminated without prior notice. The College reserves the right to impose a probationary period any time during the term of the employment and to extend the initial probationary period at the discretion of the supervisor. Whether the probationary period is extended or concluded, the supervisor uses the "Mid-Year Evaluation or End of Probationary Period" form to document the performance of the employee.
If the employee’s six-month probationary period ends within a month of the Annual Performance Evaluation (May 15th to June 30th), the supervisor may choose to use the Annual Performance Evaluation form instead of the Mid-Year/End of the Probationary Period form.

Here are some examples to illustrate the timing of the evaluations and which form to use:

Jane—hired July 15

- January—The supervisor conducts an evaluation by the end of January as part of Jane’s completion of the probationary period using the Mid-Year/Probationary Period form.
- May 15 to June 30—The supervisor conducts the annual performance evaluation using the Annual Evaluation Form.
- November/December—Jane completes the Employee Performance Input Sheet, her supervisor completes the Mid-Year Evaluation form, and an evaluation session is conducted.

Ralph—hired November 15

- May—The supervisor conducts an evaluation by the end of May as part of Ralph’s completion of the probationary period. The Supervisor can either use the Annual Performance Evaluation form or the Mid-Year/Probationary form for this session.
- November/December—Ralph completes the Employee Performance Input Sheet, his supervisor completes the Mid-Year Evaluation form, and an evaluation session is conducted.
- Mid-May to June 30—The supervisor conducts the annual performance evaluation.

**Mid-Year Evaluation (November/December)**

All supervisors and employees engage in a mid-year evaluation where objectives from the previous evaluation are reviewed and feedback is provided to the employee and the supervisor. It is at this time that the employee has the opportunity to complete the Employee Performance Input Sheet.

The employee should draft the Performance Input Sheet and bring it to his/her mid-year performance evaluation. Additionally, the supervisor should draft the
Mid-Year Evaluation form and bring it completed to the meeting. The employee should present the Employee Performance Input Sheet to the supervisor first. The supervisor should be an active listener, acknowledging the feedback in a positive manner and asking only clarifying questions. When that discussion is complete, the supervisor should present the Mid-Year Evaluation.

Completing the Performance Input Sheet is strongly recommended and is offered as a tool to improve team relations and encourage open communication and on-going feedback. Both forms are part of the employee’s personnel record.

**Annual Performance Evaluation**

All supervisors and employees engage in an annual evaluation process conducted between May 15 and June 30 of each year.

**FORM DIRECTIONS**

**Performance Input Sheet**

The employee fills out her/his name, department/division, job title, date the form is filled out, and immediate supervisor’s name.

The employee lists three items under each section of the Performance Input Sheet. This mechanism helps the employee focus his/her talking points, but is not meant to limit the employee to three items. The form is expandable and the employee should feel comfortable writing as much or little as he/she desires.

1. **My Accomplishments**

   This is the employee’s opportunity to share his/her view of the most positive and impactful things he/she has accomplished since the last evaluation.

   The employee should think in terms of what he/she has done for the department, the college, him/herself (professionally), colleagues, students, supervisor, or any other stakeholder.

   The employee could highlight accomplishments that showcase his/her initiative, innovation, ability to navigate complex problems, successful completion of major projects, ability to improve services, etc. The employee could also cite how that accomplishment affected a broader audience.

   Possible examples:
• I was the project lead on upgrading XYZ software program to include college wide communication plan, accurate identification of technical specification and risk assessment, while minimizing system downtime.

• I proactively sought to improve my department’s relationship with XYZ department by increasing timely communication, conducting regular meetings to discuss challenges, delivering needed information in a timely manner, and regularly asking for feedback.

• I took the lead on the monthly Affordable Care Act hours audit to ensure compliant offer of insurance to employees averaging more than 130 hours per month. I worked with multiple department assistants, payroll, and IT to manage, record, and track hours. My efforts resulted in limiting variable hour employees who exceeded an average of 130 hours per month to four.

2. My Development Areas

The employee shares the areas in which he/she feels improvement could be made or in which he/she would like to increase learning. The employee should think in terms of what he/she could do to improve professionally, improve the department, better deliver on job functions, improve performance, etc.

Possible examples:

• I would like to focus more on improving my attention to detail. I will take webinars on staying organized and on time management, as well as setting up a system for daily tracking of my tasks.

• I need to better understand the challenges of faculty by regularly attending meetings with the deans, shadowing in classrooms and with department assistants, and attending department meetings. This would improve my department’s relationship with faculty and provide an opportunity for my department to be experienced as a resource versus a hindrance.

• I would like to improve my management skills by working with my supervisor and Human Resources on the best practices, utilizing internal and external training.
• I would like to improve my communication with my supervisor by setting up weekly meetings to ensure she is informed. I would also like to take a webinar on effective communication.

3. My Career Aspirations
Employees should consider where they would like to be professionally in the next year or two, as well as the next five years. These aspirations could be within their department, within the college, or outside of the college. The aspiration could be learning more about a specific aspect of their current job to increase competency or assuming more duties within their department or division to increase the complexity of their work. It could be a specific title, a certain level of authority, a recognition, or the attainment of a degree or credential. It is also very acceptable for an employee to be excited to stay in his/her current role and continue to grow, gain confidence, and contribute.

Some employees may have concerns about sharing aspirations with their supervisor, aspirations that would take them out of their current role, department, or out of the College altogether. Each employee will need to gauge his/her comfort level with sharing information that may lead a supervisor to understand that the employee does not intend on staying long in his/her current role.

To this concern, most supervisors have progressed through other jobs and employers to arrive where they are now in their careers. Hence, most supervisors understand that some employees have a drive for something more and may find this information a great opportunity for them to provide the employee with more development opportunities that would benefit the department, the supervisor, and the employee.

4. My Supervisor—Things I appreciate about my supervisor or areas where my supervisor excels
This section is an opportunity for the employee to provide feedback on the things the supervisor does, or doesn't do, that is appreciated by the employee. These could be areas where the supervisor is a resource, a
support, or an advocate. These could also be positive performance traits of the supervisor that are meaningful and impactful to the employee.

Many times supervisors are unaware of how their subordinates experience their management style, so this feedback reinforces positive behaviors that the employee finds useful and supportive.

Some examples could be:

- I appreciate the time you take to listen and advocate for me when there is conflict or problems.
- I always know what is going on as you are good about informing me about matters related to work.
- I know where I stand with you because your communication is clear, direct, and honest.
- Professional Development— I feel supported by you in my pursuit of my Bachelor’s degree.
- I appreciated how you gave me the benefit of the doubt when an error occurred in the department and you asked what happened instead of making assumptions.
- I appreciate how much you value work/life balance and have supported me this year with my family as my first priority.

5. My Supervisor—Things I need from my Supervisor that would make me more successful in my job

This section provides the employee an opportunity to share the things that he/she needs from the supervisor that would enable the employee to do his/her job better or to be more successful at work. The employee might also provide feedback on something the supervisor is doing, or not doing, which is causing difficulty for the employee.

As with career aspirations, each employee will have a different comfort level with this type of feedback. Trust relationships with a supervisor are built over time, and each employee will need to gauge his/her comfort level and respond accordingly. Supervisors are tasked with many different competing priorities and are fallible (i.e. supervisors are people too). Most supervisors crave honest feedback from their subordinates, and it is the supervisor’s
responsibility to create a climate of trust and inspiration where this feedback can occur.

The employee should use “I” statements when giving feedback of this kind. “You” statements can be experienced as accusation and attack. Employees need to understand that feedback that is provided in a non-accusatory, clear, fair, and genuine way has the best opportunity to be heard by another.

All supervisors have received training on listening to employee feedback and know that whether they agree or disagree with the assessment, the employee has a right to his/her point of view. It is the supervisor’s job to accept the feedback without pushback, argument, retaliation, or negative emotion.

Some examples of productive feedback:

- I know how busy you are, but I sometimes have a hard time getting time with you to discuss things that are important.
- When I have conflict with other departments, I would enjoy hearing from you on what I could do to improve my relationships.
- I need data that I don’t have access to, and I hope you can help me find a way to access that data so I have what I need to do my job.
- I would enjoy discussing with you issues that are complex or contentious versus emailing about them. Email can seem harsh, and misunderstandings can occur.
- I enjoy our working relationship best when you communicate things I need to know.

Dual Reporting—If an employee is subject to dual reporting, this process can feel overwhelming. The employee, supervisor, and campus dean are in a partnership. The better the partnership, the easier the employee’s work becomes. The employee’s responsibility in the partnership is to provide the highest level of service to the campus at which he/she works and to communicate thoroughly with both the campus dean and the supervisor.

The Performance Input Sheet has been set up for employees to provide feedback to both the supervisor and the campus dean. Employees may want to use two separate forms to provide that feedback, or they are welcome to use one.
It is very important that the employee’s relationship with both the supervisor and the campus dean is respectful, including being able to say respectfully to each what is on the employee’s mind. Human Resources can provide guidance or advice on how to formalize this feedback.

**Mid-Year/Probationary Period**

This form is to be used either at the mid-year evaluation (Nov/Dec) of an on-going employee or at the end of a newly hired/promoted employee’s six-month probationary period. The supervisor fills out this form and presents it to the employee.

If it is the end of the new/promoted employee’s six-month probationary period, only this form is used. If it is the mid-year of an on-going employee, this form and the Performance Input Sheet are used. Please indicate on the form if this evaluation is in conjunction with the End of the Probationary Period, and if it is, whether the probationary period is complete. Please refer to directions above for combining these two forms in the mid-year evaluation.

Regardless of which evaluation is occurring, the supervisor completes this form based on his/her experience with the subordinate. The supervisor provides an overall rating based on the objective assessment of the employee’s performance. Please refer to the form for descriptions of each rating and contact Human Resources if you have questions. Ratings of Unsatisfactory and Needs Improvement require comments that are based on fact and observable performance, and both require a performance improvement plan subject to existing procedures.

Objectives can be set for the employee for the next rating period. Three “objectives” are provided, but it is up to the supervisor to determine how many objectives he/she will assign an employee. For new employees, this will be the first opportunity for their supervisor to set objectives for them. For on-going employees, supervisors should review the objectives set during the last evaluation and determine if those objectives have been completed.

**Objectives-**

These are set goals that will help the employee, the department, and the college become better. Objectives should be reasonable and attainable, and an employee
should agree to the objectives at the time of presentation. Objectives are goals, not mandates. Successful completion of an objective usually depends on a variety of factors. Sometimes events occur that may be outside the control of both the employee and the supervisor, and an objective has to be deferred or re-evaluated. If an employee is unable to meet an objective during the time provided, he/she should discuss this with the supervisor prior to the next evaluation period. Failure to complete an objective can be explained in the comment section on the next evaluation. Valuable objectives that were set but not met by the employee should be kept as an objective for the next review period. Objectives that were set, not met, and have now become obsolete should be removed for the next review period with an explanation. Objectives should be specific and measurable.

**Annual Evaluation (Mid-May to End of June)**

Supervisors complete this form for presentation to the employee during the rating period of May 15 to June 30 of each year. This is the annual evaluation period. Ratings and definitions are to be found on the form. Please contact Human Resources with questions. Any Unsatisfactory or Needs Improvement rating requires comment by the supervisor. Any overall rating of Unsatisfactory or Needs Improvement requires a Performance Improvement Plan.

**Dual Reporting**—Both the supervisor and the campus dean will need to work together to present the employee with combined feedback prior to the meeting. The work product should be reflective of the employee’s performance from these two different perspectives. If a supervisor and a campus dean strongly disagree about the performance of the employee and are unable to reach a consensus, they should proactively schedule a joint meeting with their vice-presidents to resolve the disagreement.

**Demographic Information and Rating Scale (Section 1):**

The supervisor completes the top section of the form indicating the name, title, and division of the employee. The evaluator will be the employee’s immediate supervisor and/or the campus dean, if applicable.

In the evaluation of an employee, supervisors should be candid and honest in their assessment. It is through this feedback that an employee best understands where he/she exceeds expectations and where to focus more performance attention.
Assessments should be based on reasonable performance expectations as they have been communicated to, or expected of, the employee.

**Unsatisfactory and Needs Improvement**

In the event of a rating that is below Meets Expectations, it is expected that the supervisor has previously discussed with the employee the issues leading to this assessment. Unless an issue has recently come to the attention of a supervisor, supervisors should refrain from “surprising” an employee on the performance evaluation with a rating that is below Meets Expectations. It is counterproductive for employees to find they have not been meeting the job expectations over a period of time without a minimum of a verbal coaching session from their supervisor.

All supervisors have been trained on providing verbal coaching of problems in the workplace and understand the value of providing constant and honest feedback. However, performance issues sometimes become known shortly before an evaluation period. Work demands or other considerations may prevent supervisors from addressing those issues immediately. If the circumstances of such an issue reasonably prevent a supervisor from addressing concerns with the employee prior to the performance evaluation period, then the supervisor may elect to choose a rating that properly reflects the severity of the issue.

Ratings of Unsatisfactory or Needs Improvement on a specific performance trait warrant comment. If the severity of the performance issues collectively rises to the level of discipline up to and including possible termination of employment, the supervisor should indicate that by an appropriate Overall Rating. Overall ratings lower than Meets Expectations require a Performance Improvement Plan.

Overall Ratings of Unsatisfactory or Needs Improvement should be discussed by both the supervisor and his/her immediate supervisor prior to the presentation to the employee. This ensures the rating is supportable with facts and observable behavior.

**Meets Expectations and Exceeds Expectations**

Meets Expectations is a strong indicator that the employee is performing well and as expected.
Exceeds Expectations on specific performance traits is encouraged when earned. Overall Ratings of Exceeds Expectations should be supported by strong ratings within the evaluation and should be discussed by both the supervisor and his/her immediate supervisor prior to the presentation to the employee. This ensures the rating is supportable with facts and observable behavior.

**Performance Traits and Behaviors (Section 2 and 3)**

The traits and behaviors listed under Employee and Supervisor Performance Traits and Behaviors are ones that the College believes will result in employees being successful at work. For detailed information on each category of trait/behavior, see the description listed on the form. If you require more clarification on these traits/behaviors, please contact Human Resources.

Rating systems are most valuable when the supervisor provides details and feedback on why an employee earned a specific rating. The comment section can be used for this feedback, but must be used if the rating is below Meets Expectations.

If an employee does not supervise others, the supervisor may skip the Supervisor section and go to section 4 of the evaluation form.

**Accomplishments, Objectives, Professional Development, and Comments (Section 4)**

Review the employee’s accomplishments since the last rating period. Accomplishments may or may not be linked to previous objectives. In a fast-paced ever-changing work environment, situations often call for an employee to improvise and contribute in an unplanned and unexpected way.

Review objectives from the last rating period and update progress, setting new objectives as appropriate.

Professional development should be used to highlight areas where the employee/department may benefit from further training.

The Comment section can be used as a summary by the supervisor.

**Miscellaneous**

If employees desire to write a response to the evaluation, they may do so within a reasonable time period set and agreed upon between the supervisor and the
employee at the time of the meeting. Signing the evaluation is independent of an employee statement or response, and the evaluation should be signed and dated by both the supervisor and the employee at the conclusion of the performance evaluation meeting.

If an employee refuses to sign the evaluation, the supervisor should explain that the employee’s signature acknowledges the performance evaluation was presented to the employee, not that the employee agrees with the supervisor’s assessment of his/her performance.

If the employee still refuses to sign the performance evaluation, the supervisor should write “employee refused to sign” on the signature line for the employee and proceed with processing the performance evaluation.