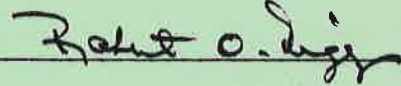


AUSTIN PEAY STATE UNIVERSITY
POLICIES AND PROCEDURES MANUALPOLICY NO.: IV:02:06 DATE: February 22, 1982SUPERSEDES POLICY NO.: IV:02:02:06 DATED: March 1, 1979

SUBJECT: Classified Employee Performance Evaluation

APPROVED: Robert O. Riggs, President

Purpose

The purposes of the classified personnel performance evaluation system are (a) to promote employee development, (b) to determine training needs, (c) to provide supervisors with a means of informing employees about their progress, (d) to provide permanent records of job performance, and (e) to serve as a partial basis for salary increases, promotions, terminations, etc.

General

Performance rating is a three-step process: observing, evaluating, and reporting.

1. Observing - Purposeful observations must be made over a sufficient period of time to insure that typical performance is considered. Supervisors should make an effort to observe directly the employee's performance, behavior, and quality of work. Supervisors are encouraged to keep detailed records of incidences of particularly good or bad job performance. A record should also be kept of the dates of corrections or commendations. Supervisors should inform employees periodically of their level of achievement and their observed strengths and weaknesses so that the periodic formal ratings will not come as a surprise.
2. Evaluating - The observed manner of job performance should be evaluated in relation to each of the criteria on the performance evaluation form (PPM Form IV:02:06:a). If more space is needed for additional comments, such comments may be typed on regular typing paper and attached to the evaluation form. Inappropriate emphasis should not be given to isolated instances of poor or outstanding behavior. The significance of the behavior and the frequency of its occurrence should be considered in assessing how representative it is of total performance. Evaluation should be based on observations made during the entire period of the report and should not be influenced by incidents which occurred

outside the reporting period. Neither should friendship or prejudice be allowed to influence evaluations.

3. Reporting - Performance evaluation reports should be prepared as objectively as possible on the basis of observation and the evaluation of these observations.

Evaluation Periods

1. New employees (on probationary appointments) shall be evaluated when employed for five consecutive months. Evaluation must precede recommendation for permanent appointment.
2. All other classified employees shall be evaluated during the month of March of each year.
3. Supervisors shall evaluate employee performance for the following periods:
 - a. from date of hire to date of current evaluation, if no evaluation has ever been completed;
 - b. from date of current evaluation, if no promotion has occurred;
 - c. from date of last promotion/demotion to date of current evaluation, if the action was completed after the last evaluation.

Responsibilities and Procedures

Director of Personnel - The Director of Personnel shall be responsible for:

1. Initiating the evaluation process for new employees by sending evaluation forms for each new employee to the appropriate supervisor at the end of five months consecutive employment in a position.
2. Initiating the evaluation process for all other classified employees by sending evaluation forms for each employee to the appropriate supervisors.
3. Assuring that review procedures are established to ensure that Employees Performance Evaluation forms are administratively acceptable. Forms that are administratively incorrect or sub-standard shall be returned to the rating official, through the appropriate department head, for correction. The responsibility of this review activity does not extend to the differences of opinion that may exist between a supervisor and his/her immediate superior.

4. Assuring that suspense procedures are established to ensure timely submission of reports (e.g., supervisors receive evaluation forms by March 1, and that all forms are returned by March 31).
5. Assuring that ratings and reports are safeguarded and that they are reviewed only by persons who are properly concerned.

Department Heads, Deans, Vice Presidents - Department heads, deans, and vice presidents shall be responsible for:

1. Assuring that each supervisor employed within his/her area of responsibility is thoroughly familiar with the requirements of this policy.
2. Assuring that, upon assignment to supervisory responsibilities, each supervisor knows who the employees are that he/she is to evaluate.
3. Assuring that each employee knows who will conduct his/her evaluation.
4. Assuring that each evaluation is reviewed by the supervisor's immediate superior.
5. Assuring that evaluations are realistic appraisals of actual performance and consistent with the guidelines established by this policy.
6. Assuring that supervisors endeavor to correct continually any deficiencies in performance and behavior and endeavor to stimulate improvement in subordinates' performance.
7. Assuring that each employee is informed of the right to review his/her performance evaluations up to and including being given a photocopy of the evaluation form before the original is transmitted to the Personnel Office to become a part of the employee's permanent personnel file.
8. Assuring that each employee understands that affixing his/her signature to the evaluation form only signifies that he/she has seen the evaluation and does not signify agreement with the contents of the evaluation.

Employee's Right to Appeal

Employees who wish to appeal performance evaluations should do so through the established supervisory structure and the Personnel Office. If an appeal reaches the vice presidential level and no satisfactory settlement is reached, a three member board will be appointed by the president to review the case. The employee concerned will be furnished written advice of the board's decision. This decision, upon approval of the president, shall be final.

AUSTIN PEAY STATE UNIVERSITY EMPLOYEE PERFORMANCE EVALUATION

A performance evaluation is to be completed by the employee's immediate supervisor at the end of five months' probationary status and annually during the month of March for all classified personnel on permanent status with the University.

Employee's Name _____
Last First Middle Initial

Job Title _____ Department _____

Evaluation Date _____ Type: Probationary _____ Annual _____

Length of service in present job _____ Length of Service with University _____
Years Months

Length of Time Employee Supervised by Rater _____

Purpose of Employee Performance Evaluation: To provide for continued improvement in job performance for the purpose of carrying out the policies of the University. The performance evaluation will be used as an aid in making recommendations for continued employment, for promotions, for improvement, and for salary increases.

Directions:

Listed below are a number of traits, abilities, and characteristics that are related to job performance.

Carefully evaluate each of these criteria separately. The evaluation should reflect performance since the last review. Refer to each of the performance criteria before marking the appraisal. After a decision is reached on the level of performance, circle the appropriate number. Write that number as a ratio of the maximum amount in the space provided at the right margin of the page. Example: 3/5.

If a criterion is inappropriate for the position, circle the "O" and place "O/O" in the blank provided.

To achieve an overall evaluation score (composite score), total the number of points scored and divide by the total number of points possible. Multiply the result by 100 and round to the nearest whole number.

Example:

Initiative	3/5
Ability to Learn	2/5
Attitude	4/5
Quality of Work	1/5
Job Knowledge	2/5
General Office Skills	0/0
Attendance	5/5
Stability	3/5
Judgment	3/5

23/40 equals .575 x 100 equals 57.5 equals 58

Composite Score equals 58

INITIATIVE: Self-starting ability; capacity to act promptly; willingness to work beyond ordinary requirements; ability to accept responsibility.

1	2	3	4	5	0
Must be told everything to do and how to do it.	Requires frequent instruction. Relies on others. Needs help getting started.	Does regular work without prompting. Readily assumes responsibility.	Thinks and acts independently. Resourceful in new situations.	Little or no supervision needed. Highly resourceful and aggressive. Self-starting.	Not applicable to position.

ABILITY TO LEARN: Speed with which employee masters new routines, grasps explanations, absorbs instructions and handles work without repeated instructions.

1	2	3	4	5	0
Instructions must be repeated often. Lacks understanding. Slow to "catch on."	Slow to understand and to learn new ways. Needs detailed instructions and explanations.	Able to understand and follow instructions. Learns new ways with few difficulties.	Requires little instruction. Sizes up situations readily. Usually quick to understand and to learn.	Grasps and applies new ideas immediately. Excellent memory. Exceptionally keen and alert.	Not applicable to position.

ATTITUDE: Response to innovations and work assignments; interest in job; cooperation; concern for department and University image.

1	2	3	4	5	0
Resents job assignments or changes in procedures. Distant and aloof. Quarrels with others. Critical of department and/or University policies and personnel.	Inclined to be stubborn. Causes confusion. Responds poorly to constructive criticism.	Tactful and diplomatic. Gets along with co-workers. Interested in well-being of University.	Seeks constructive criticism. Adjusts readily to innovations. Cooperates with supervisor and co-workers.	Unusual concern for department and/or University goals and image. Positive outlook. Handles delicate situations tactfully. Highly cooperative with supervisor and co-workers.	Not applicable to position.

QUALITY OF WORK: Neatness, thoroughness, and accuracy of work.

1	2	3	4	5	0
Needs excessive checking. Spoils much work; poor quality.	Inclined to make mistakes. Apparent lack of interest; "just get by" outlook.	Needs little checking on repetitive jobs. Acceptable quality.	Checks own work; seldom makes mistakes.	Every job finished accurately; work can be relied on.	Not applicable to position.

JOB KNOWLEDGE: The information concerning work duties that an individual should know for satisfactory job performance.

1	2	3	4	5	0
Lacks knowledge to perform work properly.	Lacks knowledge of some phases of work.	Moderately informed on own job with moderate knowledge of related jobs. Can answer most common questions.	Well informed on own job with sufficient knowledge of related jobs. Foresees problems.	Complete mastery of all phases of own job with superior knowledge of related jobs. Improvises when needed to solve problems.	Not applicable to position.

GENERAL OFFICE SKILLS: Typing, shorthand and computational skills; development and maintenance of files; maintenance of department records; preparation and distribution of mail; procurement and maintenance of supplies and materials.

1	2	3	4	5	0
Excessive errors and mistakes; disorganized. Low productivity.	Careless; makes recurrent errors; misplaces documents frequently.	Usually accurate; Strives hard to meet deadlines. Volume of work satisfactory. Occasionally suggests new and better ways of handling routine matters.	Very industrious; infrequent errors; able to handle several projects at the same time. Frequently suggests new ways of doing things.	Highly organized. Final product virtually perfect. Continually seeks new and better ways of doing things. Highly imaginative.	Not applicable to position.

ATTENDANCE: Faithfulness in coming to work daily and conforming to established work hours (including lunch and rest breaks).

1	2	3	4	5	0
Often absent and/or frequently reports for work late.	Lax in attendance and/or reporting to work on time.	Usually present and on time.	Very prompt; regular in attendance.	Always regular and prompt; volunteers for overtime when needed.	Not applicable to position.

STABILITY: Ability to withstand pressure and to remain calm in crisis situations.

1	2	3	4	5	0
Goes "to pieces" under pressure; "jumpy" and nervous.	Occasionally "blows up" under pressure; easily irritated.	Acceptable tolerance for crises; usually remains calm.	Tolerates most pressures and crises with ease. Not discouraged by setbacks.	Thrives under pressure; really enjoys solving crises. Can handle crisis situations in supervisor's absence.	Not applicable to position.

JUDGMENT: Extent to which employee makes sound and logical decisions within the limits of delegated authority.

1	2	3	4	5	0
Frequently makes judgments which are unsound. Immature in thinking and judging. Oversteps limits of delegation.	Sometimes fails to consider facts before making decisions.	Generally rational and logical. Healthy respect for facts. Careful not to overstep limits of authority.	Mature and sound in thinking. Better than average judgment. Uses facts well.	Unusually rational and logical. Able to analyze facts and solve problems. No impulsive decisions.	Not applicable to position.

To compute composite score:

Total number of points scored; divide by total points possible; multiply by 100 and round to nearest whole number. Place result in blank at right.

COMPOSITE SCORE: _____

COMMENTS

Major weak points are :

and these can be strengthened by doing the following:

Major strong points are:

1. _____
2. _____
3. _____
4. _____
5. _____

and these can be used more effectively by doing the following:

Rated by _____
Signature Title

Reviewed by _____
Signature Title

Employee's Signature _____
Date