


AUSTIN PEAY STATE UNIVERSITY
POLICIES AND PROCEDURES MANUAL

Policy Number: 5:024	Supersedes Policy Number: 5:024
Date: February 15, 2000	Dated: September 18, 1989
Subject: Performance Evaluations for Administrative/ Professional and Classified Employees	
Initiating Authority: Vice President for Finance and Administration	TBR Policy/Guideline Reference:
Approved:  Cheryl Hogue 2/15/00 President	

Purpose

The purposes of the administrative/professional and 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, (e) plan and control the assignment of work, and (f) 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. To evaluate properly, supervisors must keep detailed records of incidence of particularly good or bad job performance throughout the year. A written record should be kept of the events, dates of corrections or recommendations. 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 forms. If more space is needed for additional comments, such comments may be typed on an additional page and added to the evaluation form. Inappropriate emphasis should not be given to isolated instances of unsatisfactory or outstanding behavior. The significance of the behavior and the frequency of its occurrence should be considered in assessing how representative it is of the 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.
2. All other classified and administrative/professional employees shall be evaluated annually during the month marking the anniversary of their employment with the university.
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. At least four (4) months must have passed since the promotion/demotion before the employee is eligible for an evaluation in the new position.

Responsibilities and Procedures

The Office of Human Resources shall be responsible for:

1. Initiating the evaluating 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 administrative/professional and classified employees by sending evaluation forms for each employee to the appropriate supervisors.
3. Assuring that review procedures are established to ensure that Employee Performance Evaluation forms are administratively acceptable. Forms that are administratively 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 during the first week of the month, and that all forms are returned by the last day of the month).
5. Assuring that ratings and reports are safeguarded.

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 fair and 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 subordinate's 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 Human Resources 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. In the event the employee refuses to sign the evaluation, the supervisor should indicate the employee's refusal on the form in the employee signature block.
9. Assuring that employees understand that, if they disagree with the evaluation, they may attach a written statement of their concerns to the evaluation form. This statement will be filed with the evaluation in the employee's official personnel file.
10. Assuring that evaluations for employees in their area of supervision are completed in a timely manner and returned to Human Resources no later than the established due date.

**AUSTIN PEAY STATE UNIVERSITY
ADMINISTRATIVE/PROFESSIONAL
PERFORMANCE APPRAISAL**

I. IDENTIFICATION DATA

Name _____ Department _____
 Position Title _____ Length of Time in Position _____
 Type of Appraisal _____ annual _____ probationary _____ other
 Rating Period From _____ Through _____

II. PLACE AN X IN THE APPROPRIATE BOX (Explain any Needs Improvement or No responses in Part III, Question #3)

	YES	NEEDS IMPROVE- MENT	NO
DID THIS EMPLOYEE:			
1. Accomplish assigned objectives			
2. Make sound and logical decisions			
3. Know and follow established policy			
4. Communicate effectively both orally and in writing			
5. Promote teamwork to accomplish organizational goals			
6. Exhibit cooperation in dealing with people			
7. Plan efficiently to meet job requirements			
8. Accept responsibility for his/her actions			
9. Demonstrate appropriate job knowledge			
10. Show initiative in performing duties			
11. Adapt well to changes in job assignments			
12. Participate in university and community activities			
13. Support affirmative action programs			

III. ANSWER THE FOLLOWING QUESTIONS PROVIDING SPECIFIC EXAMPLES REGARDING THE EMPLOYEE'S PERFORMANCE:

1. What were this employee's greatest accomplishments to the university during the rating period? _____

2. How can this employee be more effective? Consider additional training, experience, personal study, etc. _____

3. What are this employee's strong points and weak points? _____

IV. OVERALL PERFORMANCE EVALUATION

Circle the number that best describes the employee's overall performance.

- | | |
|----------------------|---|
| 1. Unsatisfactory | Well below standard; significant improvement is needed. |
| 2. Needs Improvement | Does not meet normal standards. |
| 3. Average | Meets normal standards |
| 4. Above Average | Exceeds normal standards |
| 5. Outstanding | Consistently exceeds standards; contribution to organization is unique and of unusually high quality. |

EMPLOYEE'S COMMENTS (Use additional page if necessary).

EVALUATOR'S SIGNATURE _____ DATE _____

EMPLOYEE'S SIGNATURE _____ DATE _____

Employee's signature indicates that the performance appraisal has been discussed with the employee, but does not mean that the employee agrees with the appraisal.

DEAN/DIRECTOR'S SIGNATURE _____ DATE _____

VICE PRESIDENT'S SIGNATURE _____ DATE _____

AUSTIN PEAY STATE UNIVERSITY
CLERICAL EMPLOYEES'
PERFORMANCE APPRAISAL

1. IDENTIFICATION DATA

Name _____ Department _____
Position Title _____ Length of Time in Position _____
Type of Appraisal _____ annual _____ probationary _____ other
Rating Period From _____ Through _____

II. PERFORMANCE APPRAISAL FACTORS

INSTRUCTIONS: For each appraisal factor, place in the block the number which best describes the employee's performance. Brief examples must be provided with each factor explaining why you rated the employee as you did.

5 Outstanding
4 Above average
3 Average
2 Needs Improvement
1 Unsatisfactory

____ JOB KNOWLEDGE: Consider knowledge and understanding of the responsibilities of the job and ability to keep up with developments and techniques needed to perform the job properly. Examples _____

____ QUALITY OF WORK: Consider how accurately and neatly the employee completes assignments. Examples _____

____ PRODUCTIVITY: Consider volume of work accomplished under normal working conditions. Examples _____

____ DEPENDABILITY: Consider reliability and attendance. Examples _____

___ **JOB ATTITUDE:** Consider the employee's interest and enthusiasm in the job.

Examples _____

___ **INITIATIVE:** Consider the capacity for independent action, how the employee accepts responsibility and follows through even though obstacles may occur.

Examples _____

___ **JUDGMENT:** Consider reasonability and understanding of decisions.

Examples _____

___ **POTENTIAL:** Consider ability to learn new duties and grasp new ideas.

Examples _____

___ **ADAPTABILITY:** Consider ability to handle a variety of situations related to this specific job and ability to work in stressful situations.

Examples _____

___ **PROFESSIONAL DEVELOPMENT:** Consider education, workshops, certification, etc. Examples _____

___ **POLICIES AND PROCEDURES:** Consider whether employee knows and follows APSU policies and procedures. Examples _____

___ **COMMUNICATION:** Consider ability to express thoughts and ideas both orally and in writing. Examples _____

INTERPERSONAL RELATIONSHIPS: Consider ability to work with others and deal with faculty, staff, public, etc. in handling university matters.

Examples _____

 SUPERVISORY ABILITY: Complete only if the employee has supervisory responsibilities. Examples _____

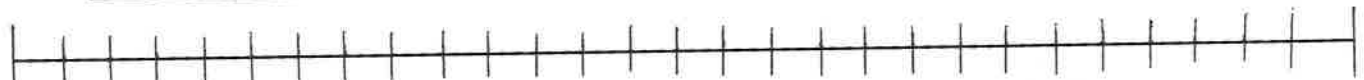
III. SUPERVISOR'S OVERALL COMMENTS (Attach a separate sheet if needed)

IV. EMPLOYEE'S COMMENTS (Attach a separate sheet if needed)

V. OVERALL EVALUATION

Place an X at the point on the scale which indicates your overall rating. (Should agree with detail ratings.)

Unsatisfactory	Needs Improvement	Average	Above Average	Outstanding
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	DATE _____
EVALUATOR'S SIGNATURE _____	DATE _____

EMPLOYEE'S SIGNATURE _____	DATE _____
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Employee's signature indicates that the performance appraisal has been discussed with the employee, but does not mean that the employee agrees with the appraisal.

DEAN/DIRECTOR'S SIGNATURE _____	DATE _____
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VICE PRESIDENT'S SIGNATURE _____	DATE _____
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VI. PROCESSED BY PERSONNEL DEPARTMENT

SIGNATURE _____	DATE _____
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AUSTIN PEAY STATE UNIVERSITY
SUPPORT EMPLOYEES'
PERFORMANCE APPRAISAL

I. IDENTIFICATION DATA

Name _____ Department _____
Position Title _____ Length of Time in Position _____
Type of Appraisal _____ annual _____ probationary _____ other
Rating Period From _____ Through _____

II. PERFORMANCE APPRAISAL FACTORS

INSTRUCTIONS: For each appraisal factor, place in the block the number which best describes the employee's performance. Brief examples must be provided with each factor explaining why you rated the employee as you did.

5 Outstanding
4 Above average
3 Average

2 Needs improvement
1 Unsatisfactory

____ JOB KNOWLEDGE: Consider knowledge and understanding of the responsibilities of the job and ability to keep up with developments and techniques needed to perform the job properly. Examples _____

____ QUALITY OF WORK: Consider whether the employee completes assignments with accuracy and neatness. Examples _____

____ PRODUCTIVITY: Consider volume of work accomplished under normal working conditions. Examples _____

____ DEPENDABILITY: Consider reliability and attendance. Examples _____

___ JUDGMENT: Consider reasonability and understanding of decisions. Examples _____

___ COMMUNICATION: Consider ability to express thoughts and ideas both orally and in writing. Examples _____

___ POLICIES AND PROCEDURES: Consider whether the employee knows and follows APSU policies and procedures. Examples _____

___ PROFESSIONAL DEVELOPMENT: Consider education, workshops, certification, etc. Examples _____

___ INITIATIVE: Consider how the employee accepts responsibilities. Examples _____

___ COOPERATION: Consider how the employee cooperates with supervisor and co-workers. Examples _____

___ SAFETY: Consider how well the employee follows safety practices and corrects and/or reports unsafe work situations related to his job. Examples _____

___ USE OF TOOLS, MATERIALS & EQUIPMENT: Consider the use of materials and care taken of tools and equipment. Examples _____

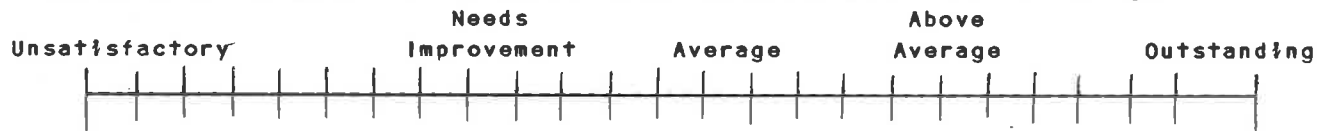
____ SUPERVISORY ABILITY: Complete only if the employee has supervisory responsibilities. Examples _____

III. SUPERVISOR'S OVERALL COMMENTS (Attach a separate sheet if needed)

IV. EMPLOYEE'S COMMENTS (Attach a separate sheet if needed)

V. OVERALL EVALUATION

Place an X at the point on the scale which indicates your overall rating.



EVALUATOR'S SIGNATURE _____ DATE _____

EMPLOYEE'S SIGNATURE _____ DATE _____

Employee's signature indicates that the performance appraisal has been discussed with the employee, but does not mean that the employee agrees with the appraisal.

DEAN/DIRECTOR'S SIGNATURE _____ DATE _____

VICE PRESIDENT'S SIGNATURE _____ DATE _____

VI. PROCESSED BY PERSONNEL DEPARTMENT

SIGNATURE _____ DATE _____