


AUSTIN PEAY STATE UNIVERSITY
POLICIES AND PROCEDURES MANUAL

Policy Number:	Supersedes Policy Number:
5:024	IV:02:06
Date:	Dated:
August 1, 1986	February 22, 1982
Subject:	
Performance Evaluations for Administrative/Professional and Classified Employees	
Initiating Authority:	SBR Policy/Guideline Reference:
Vice President for Finance and Administration	
Approved:	
 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. Supervisors are encouraged to keep detailed records of incidences of particularly good or bad job performance. A record should be kept of the 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 (PPM Form 5:024:a,b,c). If more space is needed for additional comments, such comments may be typed on the back page of the evaluation forms. 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 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 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

Personnel Office - The Personnel Office 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 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 Employees 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 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 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 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.
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.

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. PERFORMANCE APPRAISAL FACTORS

INSTRUCTIONS: For each appraisal factor examples must be provided explaining why you rated the employee as you did.

ACHIEVEMENT OF OBJECTIVES: Consider degree to which performance objectives for this reporting period were attained. Examples _____

MANAGERIAL SKILLS: Does the employee work well with and through others to complete assignments in a timely and productive manner? Examples _____

DECISION MAKING: Does the employee make sound and logical decisions or does he/she jump to conclusions without thinking through the problem? Examples _____

AFFIRMATIVE ACTION: Consider the effort which the employee has exerted toward meeting university affirmative action goals when making employment decisions and efforts to work with and train protected class employees. Examples _____

POLICIES AND PROCEDURES: Does the employee know and follow APSU and SBR policies and procedures, or does the employee disregard policies and procedures at his/her convenience? Examples _____

COOPERATION: How does the employee deal with people - does he/she possess the qualities of tact, courtesy, friendliness and tolerance? Examples _____

COMMUNICATION: Does the employee communicate effectively both orally and in writing with others? Examples _____

PLANNING: How efficiently does the employee plan to meet job requirements and necessary deadlines? Examples _____

VERSATILITY/ADAPTABILITY: - Is the employee willing and able to carry out several job assignments simultaneously and successfully? Examples _____

EFFECTIVENESS: How can the employee be more effective? Consider additional instruction, experience, personal study, etc. Examples _____

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

Examples _____

JOB KNOWLEDGE: Does the employee know and understand the responsibilities of the job? Does the employee have adequate education, training or experience to perform job? Examples _____

PROFESSIONAL DEVELOPMENT ACTIVITIES: Does the employee participate in professional development activities at an appropriate level? (Formal) (Informal)

Examples _____

COMMUNITY ACTIVITIES: Does the employee promote the University through participation in community activities? Examples _____

TEAM WORK: Is the employee a team player? Do major decisions made by this employee reflect consideration for others and the University as a whole?

Examples _____

UNIVERSITY COMMUNITY INVOLVEMENT: Does employee support University activities by participation, attendance, etc.? Examples _____

DEVELOPMENT OF OTHERS: How has the employee encouraged those under his/her supervision to improve themselves professionally? Examples _____

QUALITY AND QUANTITY OF WORK: Quantity - Does the employee complete job assignments within the deadline? Under normal conditions does the employee produce an adequate volume of work? Quality - accuracy and thoroughness should be considered.

Examples _____

STRONG/WEAK POINTS: Examples _____

III. 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 (please use back of paper 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 _____

IV. PROCESSED BY PERSONNEL DEPARTMENT

SIGNATURE _____ DATE _____

AUSTIN PEAY STATE UNIVERSITY
CLERICAL 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 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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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 _____

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.

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____ 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 reasonabllity 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

SIGNATURE _____ DATE _____