

STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

PROCEDURE

PROCEDURE NUMBER: 8-4-100.1

PAGE: 1 of 17

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TITLE: EMPLOYEE PERFORMANCE MANAGEMENT SYSTEM (EPMS) (REVIEW DATE OPTION)

POLICY REFERENCE NUMBER: 8-4-100

DIVISION OF RESPONSIBILITY: Human Resource Services

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DATE OF LAST REVISION: May 13, 2010

**DISCLAIMER**

**PURSUANT TO SECTION 41-1-110 OF THE CODE OF LAWS OF SC, AS AMENDED, THE LANGUAGE USED IN THIS DOCUMENT DOES NOT CREATE AN EMPLOYMENT CONTRACT BETWEEN THE EMPLOYEE AND THE SC STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION / THE SC TECHNICAL COLLEGE SYSTEM. THE STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION/THE SC TECHNICAL COLLEGE SYSTEM RESERVES THE RIGHT TO REVISE THE CONTENT OF THIS DOCUMENT, IN WHOLE OR IN PART. NO PROMISES OR ASSURANCES, WHETHER WRITTEN OR ORAL, WHICH ARE CONTRARY TO OR INCONSISTENT WITH THE TERMS OF THIS PARAGRAPH CREATE ANY CONTRACT OF EMPLOYMENT.**

These procedures are in accordance with the policies and procedures of the South Carolina State Office of Human Resources, for establishment and administration of the Employee Performance Management System (EPMS).

I. GENERAL INFORMATION

A. Purpose

The primary purpose of the EPMS is to increase the overall efficiency of the agency by helping each employee to improve his/her own performance. Other important purposes include:

*Date of Last Review: May 13, 2010*

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 2 of 17

---

1. To encourage continued growth and development of all employees;
2. To identify employees who have potential for promotions.
3. To provide information to employees, supervisors, and managers to use in making work-related decisions.
4. To assist management in assigning work and delegating responsibility based on a mutual understanding of the employee's skills and abilities;
5. To enhance other Human Resource Management administration components such as selection and classification;
6. To provide an accurate and objective method for evaluating employees;
7. To provide documentation to support recommendations for salary increases, promotions, reassignments, demotions, and terminations;
8. To maintain a documented history of the employee's performance; and
9. To identify training needs.

**B. Employees to be Appraised**

All classified employees, unclassified non-teaching personnel, excluding librarians, and institutional officers who occupy FTE positions shall have their performance evaluated in accordance with the EPMS program. Faculty shall have their performance evaluated in accordance with SBTCE Procedure 8-4-101.1 [Faculty Performance Management System (FPMS)].

Temporary grant and time-limited project employees are not covered by EPMS, but they should receive regular performance feedback. The System Office and individual technical/community colleges may use the EPMS to provide feedback.

**C. Orientation and Training**

Orientation on the Performance Management System for all employees of the South Carolina Technical College System (SCTCS) is encouraged.

Supervisory employees should also receive training that will concentrate on the criteria for evaluating their individual staff members.

**D. Retention and Dissemination**

All performance appraisal documents shall become a permanent part of the employee's official personnel record. The supervisor is encouraged to give the employee a copy of both the approved planning and appraisal documents at the time of discussion.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 3 of 17

---

Upon request, however, the employee shall be furnished a copy of the performance appraisal document along with copies of the permanent attachments including the planning document and the final appraisal document. It is acceptable for the planning and appraisal documents to be created and maintained via a secure (password protected) electronic system. If such a system is used, approval through the system will be considered the required signature of the employee, rater, and reviewer referenced throughout this procedure. Employees shall be able to view and print the approved documents.

E. Documentation

Only the standard State of South Carolina form or other approved document format shall be used for EPMS purposes.

II. RATING OFFICER

The Rating Officer is the employee's immediate supervisor. All planning documents and performance appraisals shall be written by the employee's supervisor who has first-hand experience or knowledge of the work being performed. The supervisor is responsible for the overall performance evaluation and for providing the employee with day-to-day feedback on the performance of his/her duties and responsibilities. It is mandatory for all rating officers to be evaluated on the timely completion of each employee's performance appraisal.

Before the Rating Officer reviews either the planning document or final appraisal with the employee, he/she must review the document with the Reviewing Officer (see Section III). The Rating Officer will then schedule a conference for discussion of the document with the employee. Both the planning and appraisal document must bear the signature of the Rating Officer, the Reviewing Officer, and the employee (if possible). If an employee refuses to sign, notation should be made on the document of this fact. If possible, the notation shall be witnessed by one signature of the reviewing officer or an employee of equal or higher band than the rating officer.

The rating officer may use informal multiple sources of feedback to assist in evaluating the employee. These sources should be identified to the employee in the employee's planning document.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 4 of 17

---

### III. REVIEWING OFFICER

The Reviewing Officer shall be the supervisor of the Rating Officer. The President, or in the case of the System Office, the Executive Director may designate additional levels of concurrence. The Reviewing Officer is responsible for reviewing the planning document and performance appraisal developed by the Rating Officer.<sup>1</sup> The Reviewing Officer may provide comment on the criteria selected and the overall rating. If agreement cannot be reached between the Rating Officer and the Reviewing Officer, the Reviewing Officer may not change the overall rating, except with approval of the President or in the case of the System Office, the Executive Director.

### IV. TYPES OF PERFORMANCE APPRAISALS

#### A. Probationary Performance Appraisal

The performance of each employee who has been given an original appointment shall be appraised prior to the completion of their initial twelve (12) month probationary period of state service. The probationary period may not be extended. The twelve month period will include only those months worked. The probationary review date marks the beginning of a new review period. Failure to complete a performance appraisal at the end of the twelve (12) months probationary period will automatically give the employee a "Successful" performance rating with all rights and privileges of a covered employee. Until an employee has successfully completed the probationary period, an employee has no right of appeal to the State Employee Grievance Committee; therefore a supervisor is not required to follow the "Substandard Performance Process" to terminate a probationary employee. If an employee is not performing satisfactorily during the probationary period, the employee must be terminated before becoming a covered employee.

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<sup>1</sup> In extenuating circumstances (i.e. extended illness, vacancy) the reviewing officer shall serve as the rater in the evaluation process with the approval of the System President/College President or his/her designee.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 5 of 17

---

### B. Trial Period Appraisals

Each covered employee who has been demoted, promoted, reclassified, reassigned within six months or less of his review date or transferred to a position or experiences an unclassified, non-faculty State title change in which he has not held permanent status in the class or unclassified State title, shall be appraised prior to completion of a six (6) month trial period in the position. The trial review date marks the beginning of a new performance period. If an employee does not receive a "Successful" performance rating prior to the six (6) month trial review date, the employee will receive a "Successful" performance rating by default and obtain covered status in the new classification. The six (6) month trial period may be extended up to ninety (90) calendar days upon written notice of the extension to the employee prior to the end of the initial six (6) month period. An employee who is promoted may be demoted to the class from which promoted, if the demotion occurs within the trial period, without having appeal rights to the State Employee Grievance Committee.

### C. Regular (Annual) Performance Appraisal

All covered employees shall have a regular (annual) performance appraisal no more than ninety (90) calendar days prior to their established review date. The appraisal must be reviewed and discussed with the Reviewing Officer prior to discussion with the employee. The completed document should be forwarded to the Human Resources office at least twenty (20) calendar days prior to the employee's review date. If an employee does not receive a performance appraisal prior to his/her performance review date, the employee shall be rated "Successful" by default. Review dates for unclassified non-teaching personnel and institutional officers will generally be July 1.

Each college has the option to implement a Universal Performance Appraisal program (UPA). Such a program would permit the performance appraisals and planning documents for all classified employees, unclassified non-teaching, and institutional officers to be accomplished within a specific period and due on a common date specified by the college. If the college wants to use the UPA option, then the college must develop an appropriate policy and update its local procedures to reflect the change in appraisal date and establish other appropriate internal procedures. Such internal policies/procedures/plans must be reviewed by the System Office Human Resource Division Director and approved by the State Office of Human Resources (OHR) prior to implementation.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 6 of 17

---

If the UPA Program is adopted, individual college or the System Office will phase in the Universal Performance Appraisal date. As of the effective date of this policy, an employee who reaches his/her Established Review Date may receive a Short Year Planning Document and Short Year Appraisal as necessary to transition the employee from the Established Review Date to the Universal Performance Appraisal date.

**D. Interim Performance Appraisals**

An interim performance appraisal is one conducted during the rating period other than a probationary, trial, or regular (annual) appraisal. Interim appraisals may be used periodically to call attention to commendable items or problem areas, to identify serious errors in an employee's overall performance or to simply give the employee feedback. For addressing substandard performance, see Section V.C. below. Interim performance appraisals must not be used to calculate retention points for reduction in force purposes.

**E. Review Date Changes**

An employee's performance review date shall be changed for the following reasons:

1. An employee who is in trial status and has had the trial period extended shall have the performance review date advanced up to 90 calendar days for the time period such extension is in effect.
2. An employee on approved leave with or without pay for more than thirty (30) consecutive work days shall have the performance review date advanced one calendar day for each calendar day on leave, not to exceed ninety (90) calendar days after those first thirty (30) workdays, if the normal review date occurs within the period of approved absence, or within two months of the normal review date.
3. A covered employee who within thirty (30) calendar days of his performance review date receives a "Warning Notice of Substandard Performance" shall have the performance review date advanced one calendar day for each calendar day such warning is in effect, up to ninety (90) calendar days.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 7 of 17

---

### F. Other Options

1. A team evaluation may be substituted for individual performance appraisals. For this to occur, policy and procedures must be developed to incorporate the team evaluation into the System Office's/College's EPMS Policy and Procedure.
2. The System Office/College may establish a numerical weighting system for evaluating employees.
3. The System Office/College may link the employee's performance evaluation to the appropriate work unit's mission, objectives, or training plans. When used, written statements of such mission, objectives, and/or training plans should be provided to the employee.
4. Before implementation, items 1, 2, or 3 above must have an implementation plan and policy reviewed by the Director of Human Resource Services of the System Office and approved by the State Office of Human Resources (OHR) prior to implementation to ensure compliance with state regulations and procedures.

### V. LEVELS OF PERFORMANCE

- A. Job Functions (duties plus success criteria), Objectives and the Overall Rating will be evaluated as follows:

**UNSUCCESSFUL** - Substandard work performance that is below the job requirements and expectations as evaluated according to the success criteria. Before this rating is given, a review process must take place that includes a warning notice of substandard performance and meetings with the employee. (See Substandard Performance, Section V.C.). For the overall rating, a detailed explanation is required to support a rating of "Unsuccessful." Any employee who receives an overall rating of "Unsuccessful" must be removed from the position (demoted, terminated, or reassigned).

**SUCCESSFUL** - Work that meets the expectations and requirements of the assigned position throughout the rating period as evaluated according to the success criteria (see Section IV); performance may fluctuate during the rating period to include exceeding the job requirements and expectations in some areas.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 8 of 17

---

EXCEPTIONAL - Work that is consistently above the expectations and requirements of the job as evaluated according to the success criteria throughout the rating period. For the Overall Rating, a detailed explanation is required to support a rating of "Exceptional."

**B. Performance Characteristics**

The performance characteristic - 'Promote Equal Opportunity' (required for supervisors and managers) and other performance characteristics, if used, should be evaluated as either "Pass" (meets requirements) or "Fail" (fails to meet requirements). Performance characteristics may be alternatively included as success criteria in job duties or objectives.

**C. Substandard Performance**

Substandard performance is performance that is less than minimum performance requirements and will result in an employee receiving a formal rating of "Unsuccessful" unless improvement is shown. If during the performance period an employee is considered "Unsuccessful" in any essential job function and/or objective significantly impacting performance, the Rating Officer, with approval of the reviewing officer, shall provide the employee with a written "Warning Notice of Substandard Performance." In order to ensure that covered employees are given adequate notice of their substandard performance and are allowed the opportunity to improve such performance prior to the formal appraisal, the following procedures shall be observed:

1. The warning notice shall provide for an improvement period of no less than thirty (30) days and no more than one hundred twenty (120) days.
2. The Rating Officer must develop a work improvement plan for approval by the Reviewing Officer. The Rating Officer should include the employee in drafting a work improvement plan. The work improvement plan should include a list of ways to improve the deficiencies and other appropriate performance related recommendations. In those instances where the employee does not agree upon the timing and content of the work improvement plan, the Rating Officer with the approval of the Reviewing Officer, will make the final determination of the content and time period.



# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 9 of 17

---

3. Warning notices of substandard performance shall:
  - a. Be in writing and labeled as a "Warning of Substandard Performance";
  - b. Be addressed to the employee whose performance is in question;
  - c. List job functions/objectives where performance is deficient. Explain the deficiencies and list ways to improve such deficiencies;
  - d. Specify time periods for improvement and possible consequences (termination, demotion, reassignment).
  - e. Be presented to the employee for signature of acknowledgment and placed in the employee's personnel record. If the employee refuses to sign, the rating officer should have an appropriate witness attest to such;
  - f. Include the proviso that a rating of "Unsuccessful" shall result if performance is not brought up to standard in the time period specified;
  - g. Include a plan for meetings to discuss employee progress during the warning period.
4. During the warning period, the employee and the supervisor shall have regularly scheduled meetings during which they discuss the employee's progress. Documentation is required to verify that these counseling sessions were held. Copies of this documentation shall be placed in the employee's official personnel record and given to the employee upon request
5. If the employee's performance is rated "Successful" or above on all essential job functions/objectives which significantly impact performance, noted in the warning notice of substandard performance, by the end of the warning period, the position status shall continue. If the employee is rated "Unsuccessful" on any essential job function or objective which significantly impacts performance as noted in the written warning of substandard performance by the end of the warning period, the employee shall be removed from the position immediately (demoted, terminated, or reassigned).

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 10 of 17

---

6. Once a time frame for improving substandard performance has been given, the employee must be rated within that specified time or the employee will receive a “Successful” rating by default.
7. If an employee has been issued two warning notices within a 365 day period and performance drops to a substandard level on any essential job function(s) and/or objective(s) significantly impacting performance for a third time within a 365 day period, the employee shall be removed from the position upon the third occurrence of such substandard performance by issuing the “Unsuccessful” appraisal and letter of termination, demotion, or reassignment. A warning notice is not required on the third occurrence within a 365 day period. After the end of the second warning period, the employee should be provided with notice of the possible consequences should performance again deteriorate.
8. Normally, a written warning for substandard performance may not extend beyond the employee’s review date. If the warning notice is issued less than 30 calendar days before the employee’s review date, the review date would roll forward one day for each day the warning notice of substandard performance is in effect up to 90 calendar days.
9. The substandard performance process is not required to demote or reclassify downward an employee in a trial period to the same class or a class in an equal or higher band from which promoted, if the demotion occurs within the trial period. An employee in their trial period may not grieve such demotion through the grievance process. The employee in a trial period, however, may not be terminated or demoted to a lower banded class than that from which promoted for performance reasons, without following the substandard performance process.
10. The substandard performance process above is not required to terminate the employment of a probationary employee.

## VI. SUCCESS CRITERIA

Success criteria statements are required and must be defined for each job duty and objective on which an employee is evaluated. Success criteria are statements/explanations of factors that specify the level of performance necessary to obtain a “Successful” rating.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 11 of 17

---

### VII. EPMS DOCUMENT

#### A. Planning Document

Within six (6) weeks of the beginning of a new rating period the Rating Officer and the employee should have a planning conference. The conference will include a review of job functions, objectives and performance characteristics. Additionally, success criteria should be reviewed for each job function and objective if used. Job functions and objectives should be updated as necessary for only major changes in position requirements.

The Rating Officer should initially meet with the employee to discuss the planning document and how it relates to the employee's job functions (and objectives, if used) for the upcoming year. After this discussion, the Rating Officer shall approve the planning document. Prior to discussing the completed planning document with the employee, the Rating Officer will meet with the Reviewing Officer to discuss the planning document. Once the document is approved by the Rating Officer and Reviewing Officer, the Rating Officer will meet with the employee to review the planning document. It shall be mandatory for all raters to be evaluated on the timely completion of each employee's performance appraisal.

Each employee will certify that he/she has reviewed the planning document. In those instances where the Rating Officer and employee cannot agree upon the items in the planning document, the Rating Officer's decision will be final. The employee may request a copy from the Rating Officer so that he/she can reference the criteria during the rating period.

Should significant changes occur to the employee's job during the rating period, the planning document should be modified to incorporate such changes.

#### B. Job Functions

Job functions are those overall job responsibilities that are unique to a particular position. Job functions relate specifically to an employee's position but generally not at a detailed level. The development of job functions is the most critical aspect of developing criteria to evaluate the employee because it is job specific. Therefore, it is imperative that the employee's planning document be current and accurately reflect the duties and responsibilities of the position. Success criteria must be defined for each job duty. A job function is defined as a job duty plus related success criteria.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 12 of 17

---

The Rating Officer will be responsible for developing job functions through discussion with the employee. During the review of the planning document the Rating Officer and employee will have the opportunity to discuss the accuracy of the job functions as they relate to the work performed by the employee. Should the Rating Officer decide to change the job functions to be evaluated, the Rating Officer will in turn modify the employee's planning document to reflect the change. However, should the Rating Officer feel that the job functions accurately reflect the areas of responsibility desired in a particular position, no change will be made. In those instances where the supervisor and employee cannot agree upon the job functions, the supervisor's decision will be final. It shall be mandatory for all rating officers to be evaluated on the timely completion of each employee's performance appraisal.

It is suggested that, for the purpose of the planning document and performance appraisal, no job function should consist of less than ten percent (10%) of the employee's specific job duties. Items of less than ten percent (10%) may be combined and evaluated with other items. When rating officers are having difficulty developing job functions, they should consult their Human Resources' Officer for assistance.

### C. Objectives

Objectives are those specific projects, programs or other nonrecurring activities that should be focused upon by the employee during the rating period. These projects, programs or other non-recurring activities may be at the direction of the Rating Officer or jointly determined by the employee and Rating Officer.

Assignment of objectives to employees may be required. If objectives are identified, success criteria must be developed. Objectives may be added or deleted during the rating period. Objectives should only be deleted if the objectives are no longer important or not a priority to the respective work area. Objectives may be added if their completion date is within the rating period.

Objectives, if used, must be a factor in determining the overall employee performance rating.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 13 of 17

---

D. Performance Characteristics

Performance characteristics may be used to clarify the expectation of the supervisor. If used, the performance characteristics selected may only be used as a communication tool to emphasize those items that are important to success in performing the job functions (and objectives, if used) in the planning document. The performance characteristics shall be given no weight in the determination of the overall performance rating. Ratings given on the performance characteristics should be either "Pass" or "Fail." Comments should be made for any ratings of "Fail."

In addition to general Performance Characteristics, Management Characteristics for supervisors and managers have been developed. All managerial performance characteristics are required for supervisors and managers. Management characteristics are designed to evaluate supervisors and managers on their ability to plan, organize, control, motivate, develop, promote equal opportunity, and complete planning documents and appraisals. All supervisors will be rated on each management characteristic listed above as either "Pass" or "Fail." Additional management characteristics may be added if they relate specifically to the job.

E. Overall Summary

In the overall summary, the overall rating is determined and space is provided for a Rating Officer to include written comments.

Written comments are required to be made by the Rating Officer on any employee whose overall performance is either "Exceptional" or "Unsuccessful." Written comments are encouraged, but not required, for a "Successful" rating. An employee's strengths and weaknesses relating to their performance over the rating period should be noted.

The Rating Officer is encouraged to provide comments recommending actions to be taken by the employee or College/System Office to improve or maintain the employee's performance or potential.

A separate written response may be made by the employee if he/she wishes to express an opinion (agreement or disagreement) regarding the performance appraisal.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 14 of 17

---

### ADDENDUM #1

#### GENERAL PERFORMANCE CHARACTERISTICS

This addendum provides supervisors and employees with a list of general performance characteristics and definitions if they are used in the process of defining or clarifying supervisory expectations.

#### FUNCTIONAL QUALITIES

1. Technical Competence - Possesses necessary knowledge and skill to effectively perform duties and applies this knowledge appropriately.
2. Self-Management - Works with minimal supervision, manages own time effectively, maintains control on all current projects/responsibilities and follows up on all relevant issues.
3. Job Knowledge - Possesses necessary familiarity with assigned position and follows appropriate procedures.
4. Quantity of Work - The extent to which the employee produces an amount of acceptable work in order to meet schedules over which he/she has control.
5. Quality of Work - The extent to which the employee neatly, thoroughly, and accurately completes job assignments according to established quality standards. Continuously improves quality of work.
6. Problem Analysis - Able to identify problems and relevant issues and breaks problems into components. Sees relationships and alternative solutions and arrives at sound conclusions through logical process.
7. Accuracy of Work - The degree to which the employee makes minimum mistakes or errors that require correction.
8. Time Management - Employee reports for work promptly and effectively and efficiently uses time to accomplish job tasks.
9. Safety - Follows established safety practices and corrects unsafe work practices.
10. Responsibility - Asks for work after completing assignments and does not make excuses but addresses problems squarely. Offers action plans to resolve problems.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 15 of 17

---

11. Concentration - Able to put aside distractions and stays with a job until complete. Able to stick to assignments and gets results in spite of difficulties.

### PERSONAL QUALITIES

12. Judgment - Reasons, compares, understands, and thinks rationally on the job. Makes quality work related decisions based on sound conclusions and separates facts from opinions.
13. Leadership - Reliable in guiding others to the accomplishment of objectives/responsibilities, development of teamwork, and the resolution of conflict/problems.
14. Initiative - Starts assignments without prompting and independently contributes ideas and projects. Sees and acts upon new opportunities. Thinks and acts independently and promptly addresses problems.
15. Dependability - Meets work schedules and fulfills job responsibilities and commitments. Consistently meets deadlines and follows instructions.

### INTERPERSONAL QUALITIES

16. Acceptance - Gains confidence of others and earns respect of subordinates, peers, and superiors. Values diversity and respects opposing opinions.
17. Teamwork - Degree to which employee works effectively and cooperatively with others to achieve organizational goals. Degree of responsiveness to organizational needs.
18. Adaptability - Adapts to job or organizational changes. Readily accepts new responsibilities and assignments.
19. Communication Ability - Presents clear and accurate information (both verbally and written) to other employees, peers, and superiors.
20. Client Service - Effectively and efficiently meets the needs of those served by continually assessing performance based on customer feedback.
21. Listening Skills - Asks meaningful questions and listens closely and respectfully before offering comments.

# STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION

## PROCEDURE

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 16 of 17

---

### ADDENDUM #2

#### ADDITIONAL PERFORMANCE CHARACTERISTICS FOR MANAGERS

This addendum provides a list of required additional performance characteristics (with definitions) for those persons in managerial and supervisory positions. These required additional managerial performance characteristics should be included on the planning document.

#### SELECTED MANAGEMENT CHARACTERISTICS

##### MANAGEMENT FUNCTIONS

1. Planning and Organizing

Establishes a course of action for meeting an objective. Allocates resources and personnel for best effect within budget limits. Develops schedules for activities and projects. Sets and observes priorities in order to avoid backlogged work. Effectively matches short term goals to contribute toward longer range plans.

2. Controlling

Monitors and facilitates employees' activities; establishes and maintains effective procedures to monitor and control activities within the employees' responsibilities; monitors the progress and results of delegated assignments and keeps informed of developments in area of responsibility.

3. Delegating

Allocates responsibilities to employees to help develop their career potential. Uses staff members effectively by delegating decision making and other responsibilities to the appropriate employee(s). Provides clear instructions and leadership so delegated tasks are properly completed. Where appropriate, establishes and empowers teams to improve work systems and processes.

4. Motivating

Creates an organizational environment or climate in which employees can perform to the best of their abilities. Establishes employee motivation by giving employees timely and regular recognition and feedback for work performed. Ensures that employees are aware of the possibility of advancement and growth. Develops a sense of trust and responsibility.



**STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION**

**PROCEDURE**

**PROCEDURE NUMBER:** 8-4-100.1

**PAGE:** 17 of 17

---

5. Developing

Develops positive learning environments for both self and employees by identifying and providing continuing education and training opportunities to stay abreast of the current state of the art in one's field.

6. Promoting Equal Opportunity

Assists in meeting agency affirmative action goals in hiring, promotion, or placement; demonstrates personal and organization unit commitment to equal opportunity; shows progress toward achieving an integrated/representative work force; and contributions toward minority/female programs and other social/economic equal opportunity goals.

7. Planning and Appraising Employee Performance

Administers EPMS program for subordinate employees on a timely basis.