I. General Information

A. Purpose

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

1. To encourage continued growth and development of all faculty members.

2. To identify faculty members who have potential for promotion.

3. To provide information to faculty members, supervisors, and managers to use in making work-related decisions.

4. To assist management assigning work and delegating responsibility based on a mutual understanding of the faculty members’ 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 faculty performance.

7. To provide documentation to support recommendations for salary increases, promotions, reassignments, demotions, and dismissals.

8. To maintain a documented history of the faculty member’s performance.

9. To identify employee strengths and training needs.

B. Faculty Members to be Appraised

All faculty members who occupy Full-time equivalent (FTE) positions shall have his/her performance evaluated in accordance with the FPMS program. For faculty in FTE positions who work during the summer, summer performance shall not be excluded from the overall evaluation.

C. Orientation and Training

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

Supervisory faculty members should also receive training that will concentrate on the criteria for evaluating the individuals he/she supervises.

D. Retention and Dissemination

All performance appraisal documents shall become a permanent part of the faculty member’s official personnel file. The supervisor is encouraged to give a copy of both the approved planning document and appraisal documents at the time of discussion. Upon request, however, the faculty member 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. Only the standard SCTCS form or other approved document shall be used for FPMS purposes.

II. Rating Officer

The Rating Officer is the faculty member’s immediate supervisor. All planning documents and performance appraisals shall be written by the Rating Officer who has first-hand experience or knowledge of the work being performed. The Rating Officer is responsible for the overall
performance evaluation and for providing the faculty member with ongoing 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 the planning or appraisal documents with the faculty member, he/she must review it the Reviewing Officer (see Section III). The Rating Officer will then schedule a conference for discussion of the document with the faculty member. Both the planning and appraisal documents must bear the signature of the Rating Officer, the Reviewing Officer, and the faculty member (if possible). If a faculty member refuses to sign, notation should be made on the document of this fact. If possible, the notation shall be witnessed by one signature of a faculty member of equal or higher band than the rating officer.

The Rating Officer may use informal multiple sources of feedback to assist in evaluating the faculty member. These sources should be identified to the faculty member in the faculty member’s planning document.

III. Reviewing Officer

The Reviewing Officer shall be the supervisor of the Rating Officer. The President may designate additional levels of review. The Reviewing Officer is responsible for reviewing the planning document and performance appraisal developed by the Rating Officer. The Reviewing Officer may provide comment on the success criteria selected and the overall rating. If agreement cannot be reached between the Rating and Reviewing Officer, the Reviewing Officer may not change the overall rating, except with approval of the President, before the appraisal is discussed with the faculty member.

IV. Types of Performance Appraisals

A. Probationary Performance Appraisal

The performance of each faculty member shall be appraised prior to the completion of his/her probationary period\(^{(2)}\). This period shall not be extended. Failure to complete a performance appraisal at the end of the probationary period will automatically give the faculty member a "Successful Performance" rating with all rights and privileges of a covered faculty member. Until a faculty member has successfully completed the probationary period, a faculty member has no rights of appeal to the State Employee Grievance Committee; therefore, a supervisor is not required to follow the "Substandard Performance Process" to terminate a probationary faculty member. If a faculty member is not performing satisfactorily during the probationary period, the faculty member must be terminated before becoming a covered faculty member. After satisfactory completion of the trial period, the employee may require a Short Year Planning Document and a Short Year Appraisal in order to transition the employee to the UPA date.

\(^{(2)}\) Reference College Procedure #3.2.3.3: Compensation Plan for Unclassified Faculty
B. Trial Period Appraisals

A covered(3) classified employee who has been promoted to a faculty classification may 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 same class from which promoted, if the demotion occurs within the trial period, without having appeal rights to the State Employee Grievance committee. After satisfactory completion of the trial period, the employee may require a Short Year Planning Document and a Short Year Appraisal in order to transition the employee to the UPA date.

C. Regular (Annual) Performance Appraisal

All faculty members in FTE positions shall have a regular (annual) appraisal no more than 90 calendar days prior to his/her performance review date. The appraisal must be reviewed and discussed with the Reviewing Officer prior to discussion with the faculty member. The completed document must be forwarded to the Human Resources Management office at least twenty (20) calendar days prior to the faculty member’s review date. If a faculty member does not receive a performance appraisal prior to his/her performance review date, the faculty member shall be rated "Successful Performance" by default. All performance ratings must be reported to the SCTCS Office Human Resources Services no later than the beginning of the new academic year.

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 South Carolina Department of Administration’s Division of State Human Resources (DSHR) prior to implementation.

If the UPA Program is adopted, the individual college or System Office will phase in the Universal Performance Appraisal date. As of the effective date of this policy, an employee who reached his/her Established Review Date requires 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.

(3) Reference procedure #3.2.3.3; Compensation Plan for Unclassified Faculty Personnel
D. Interim Performance Appraisals

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

Review Date Changes:

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

1. A faculty member who is in a 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. A faculty member on approved leave with or without pay for more than 30 consecutive workdays may have the performance review date advanced one calendar day for each calendar day on leave not to exceed 90 calendar days after those first 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 faculty member who within 30 calendar days of his performance review date receives a “Warning Notice of Unsuccessful Performance”, shall have the performance review date advanced one calendar day for each calendar day up to 90 calendar days.

4. A covered faculty member who is reassigned to another position in a different discipline at the same College or within the SCTCS within six months or less of his review date shall have the performance review date advanced six months from the date of the reassignment. In this event, a subsequent short term evaluation cycle will be needed to transition the faculty member to the universal review date.

E. Other Options

1. Team evaluation may be substituted for individual performance appraisals. For this to occur, policies and procedures must be developed to incorporate the team evaluation into the College FPMS Policy and Procedure.

2. Each college and the System Office may establish a numerical weighting system for evaluating faculty members.
3. Each College and the System Office may link the faculty member'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 will be provided to the faculty member.

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 South Carolina Department of Administration’s Division of State Human Resources (DSHR) 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 at one of three (3) levels of performance as follows:

UNSUCCESSFUL - Substandard work performance that is below the job requirements and expectations as evaluated according to the success criteria. Before an overall unsuccessful rating is given a substandard performance, process must take place that includes a written warning and meetings with the faculty member. For the overall rating, a detailed explanation is required to support a rating of “Unsuccessful.” (See Substandard Performance, section V.C.) Any faculty member 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.

EXCEPTIONAL - Work that is consistently above the expectations and requirements of the job as evaluated according to the success criteria throughout the rating period.

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 a faculty member receiving a formal rating of "Unsuccessful" unless improvement is shown. If during the performance period a faculty
member is considered “Unsuccessful” in any essential job function/objective which significantly impacts performance, the rater, with approval of the reviewing official, shall provide the faculty member with a written “Warning Notice of Substandard Performance.” In order to ensure that covered faculty members are given adequate notice of his/her 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) calendar days and no more than one hundred twenty (120) calendar days.

2. The Rater must develop a performance improvement plan for approval by the Reviewing Officer. The Rater should include the faculty member 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 faculty member does not agree upon the timing and content of the work improvement plan, the Rater with the approval of the Reviewing Official, will make the final determination of the content and time period.

3. Warning notices of substandard performance shall:
   a) Be in writing and labeled as a "Warning of Substandard Performance."
   b) Be addressed to the faculty member 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 faculty member for signature of acknowledgment and placed in the faculty member’s Human Resource Management file. If the faculty member refuses to sign, the Rater 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 faculty member progress during the warning period.

4. During the warning period, the faculty member and the Rating Officer shall have regularly scheduled meetings during which they discuss the faculty member’s progress. Documentation is required to verify that these counseling sessions were
held. Copies of this documentation shall be placed in the faculty member's official Human Resource Management file and given to the faculty member upon request.

5. If the faculty member'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, employment shall continue. If the faculty member is rated "Unsuccessful" on any essential job function or objective, which significantly affects performance as, noted in the written warning of substandard performance by the end of the warning period, the faculty member shall be removed from the position immediately.

6. Once a time frame for improving substandard performance has been given, the faculty member must be rated by that specified time or the faculty member will receive a "Successful" rating by default.

7. If a faculty member has been issued two warning notices within a 365 day period and performance drops to a substandard level on any essential job function/objective which significantly impacts performance for a third time within a 365 day period, the faculty member shall be removed from the position upon the third occurrence of such substandard performance by issuing the “Unsuccessful” appraisal and a 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 faculty member should be provided with notice of the possible consequences should the performance again deteriorate.

8. Normally, a written warning for substandard performance may not extend beyond the employee’s UPA date. If the warning notice is issued less than 30 calendar days before the employee’s UPA date, the UPA date would roll forward one day for each day the warning notice of substandard performance is in effect up to 90 calendar days.

   Should the UPA date roll, and the employee receives a “Successful” or above rating on all essential job functions and/or objectives significantly impacting performance as noted in the warning notice, the employee may require a Short Year Planning Document and a Short Year Appraisal to move the employee back to the UPA date.

9. The Substandard Performance Process above is not required to terminate the employment of a probationary faculty member.

VI. Success Criteria

Success criteria statements are required and must be defined for each job duty and objective on which a faculty member is evaluated. Success criteria are statement/explanations of factors that specify the level of performance necessary to obtain a "Successful" rating. Performance characteristics may be alternatively used as success criteria.
VII. FPMS Documents

A. Planning Documents

Within six (6) weeks of the beginning of a new rating period the Rating Officer and the faculty member should have a planning conference. The conference will include a review of job functions, objectives (may be required) and performance characteristics. Additionally, success criteria should be established for each job duty and objective. Job functions and objectives should be updated as necessary for major changes in the position requirements. The Rating Officer should initially meet with the faculty member to discuss the position description and how it relates to the faculty member’s job duties/objectives for the upcoming year. After this discussion, the Rating Officer shall complete the planning stage document. Prior to discussing the completed planning document with the faculty member, the Rating Officer will meet with the Reviewing Officer to discuss the completed document. Once agreement has been reached and the document is signed by the Rating Officer and the Reviewing Officer, the Rating Officer will meet with the faculty member to discuss the planning stage.

Each faculty member will sign the planning stage document indicating he/she has reviewed the criteria by which he/she will be rated. In those instances where the Rating Officer and faculty member cannot agree upon the items in the planning document, the rater’s decision will be final. The faculty member should receive a copy from the Rating Officer so that he/she can reference the criteria during the rating period.

Should significant changes occur to the faculty member’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 a faculty member’s position description but generally not at the detailed level of specific duties or tasks. The development of job functions is the most critical aspect of developing criteria to evaluate the faculty member because it is job specific. Therefore, it is imperative that the faculty member’s position description be current and accurately reflects 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 (or combination of duties) plus related success criteria.

The Rating Officer will be responsible for developing job functions from the faculty member’s position description through discussion with the faculty member. During the planning stage the Rating Officer and faculty member will have the opportunity to discuss the accuracy of the job functions as they relate to the work performed by the faculty member. Should both the Rating Officer and faculty member agree to change the job functions to be evaluated, the Rating Officer will in turn modify the faculty member’s position description to reflect substantial changes.
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 Rating Officer and faculty member cannot agree upon the job functions, the Rating Officer’s decision will be final. Also, it shall be mandatory for all raters 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 faculty member’s specific job duties on the position description. Items of less than ten percent (10%) may be combined and evaluated with other items. When Rating Officers are having difficulty developing job functions, he/she should consult his/her Human Resource Officer for assistance.

C. Objectives

Objectives are those specific projects, programs or other nonrecurring activities that should be focused upon by the faculty member 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 faculty member and Rating Officer.

Assignment of objectives to faculty members 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 the completion date is within the rating period. Objectives, if used, must be a factor in determining the overall employee performance rating.

D. Performance Characteristics

Performance characteristics may be used to clarify the expectations of the Rating Officer. When 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 not be given weight in the determination of the overall performance rating. Ratings given on the performance characteristic 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. The only required characteristic to be assigned and rated for supervisors and managers is “Promote Equal Opportunity.” Required management characteristics designed to evaluate supervisors and managers are his/her ability to plan, organize control, motivate, develop, promote equal opportunity (required), and complete planning documents and performance appraisals. All supervisors and managers will be rated on each either management characteristic as
“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 should be made by the Rating Officer on the faculty member’s overall accomplishments, strengths and weaknesses related to the faculty member’s performance or potential.

The Rating Officer is encouraged to provide comments recommending actions the faculty member or college should undertake to improve or maintain the faculty member’s performance or potential.

A written justification/rationale is required for an overall rating of "Exceptional" or "Unsuccessful." While a justification is not required for a "Successful," rating, written comments are encouraged.

A separate written response may be made by the faculty member if he/she wishes to express an opinion (agreement or disagreement) on the performance appraisal.
ADDENDUM #1

Suggested Faculty Job Functions

1. Job Duty: Instructional Development – Suggested success criteria include developing and maintaining course documentation; reviewing and selecting text books for courses in subject area; maintaining audio-visual and/or other materials for courses taught; being organized and will prepared for class; scheduling of class and lab time effectively.

2. Job Duty: Teaching Performance – Suggested success criteria include providing students with course syllabus, grading/attendance policy, and other relevant information in a timely manner; relating instructional materials, discussions and other course activities to course objectives; demonstrating effective interaction skills; using practical examples and test; returning test results in a timely manner; relating tests to course objectives; following acceptable department and College grading policies. In addition, the faculty member shall, at least annually, participate in conducting a college student evaluation of at least one section of every course he/she teaches.

3. Job Duty: Student Advisement – Suggested success criteria include maintaining required office hours; publicizing office hours and availability; referring students to other persons for appropriate assistance; maintaining appropriate records; meeting with students in a timely manner; displaying sensitivity to students’ needs and problems.

4. Job Duty: College and/or Community Service – Suggested success criteria include: assisting with recruitment as required; assisting with job/transfer placement or recommendations as required; cooperating with or participating in projects/activities of other instructional and support areas in fulfillment of the College’s mission; serving effectively on college/community committees.

5. Job Duty: Professional Development – Suggested success criteria include: developing an annual professional development plan in conjunction with the supervisor; attending courses/seminars/workshops as required or planned; writing manuscripts or presenting papers at conferences, etc.; doing research projects in subject field.

6. Job Duty: Instructional Management – Suggested success criteria include submitting reports in a timely manner; arranging physical environment as much as possible for effective learning; adhering to class schedules; providing effective classroom/lab supervisors; maintaining accurate records; providing disciplinary action where appropriate.
ADDENDUM #2

General Performance Characteristics

This addendum provides supervisors and faculty members 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 ensures follow 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 faculty member 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 faculty member neatly, thoroughly and accurately completes job assignments according to established quality standards. Continuously improves quality of work.

6. Problem Analysis – Able to identify problems, 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 faculty member makes minimum mistakes or errors that require correction.

8. Time Management – Faculty member reports for work promptly, effectively, and efficiently uses time to accomplish job tasks.

9. Safety - Follows established safety practices and corrects unsafe work practices.

10. Responsibility - Ask for work after completing assignments and does not make excuses but addresses problems squarely. Offers action plan to resolve problems.

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


13. Leadership - Reliable in guiding others to the accomplishment of objectives/responsibility, development of teamwork and the resolution of conflict/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. Team Work - Degree to which faculty member 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 faculty members, 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 - Ask meaningful questions and listens closely and respectfully before offering comments.
ADDENDUM #3

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 stage document.

MANAGEMENT QUALITIES

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 faculty members’ activities; establishes and maintains effective procedures to monitor and control activities within the faculty members’ responsibilities.

3. Delegating

Allocates responsibilities to faculty members to help develop his/her career potential. Uses staff members effectively by delegating decision making and other responsibilities to the appropriate faculty member(s). Provides clear instructions and leadership so delegated tasks are properly completed. Monitors the progress and results of delegated assignments and keeps informed of developments in area of responsibility. Where appropriate, establishes and empowers teams to improve work systems and processes.

4. Motivating

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

5. Developing

Develops positive learning environments for both self and faculty members by identifying and providing continuing education and professional development 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 organizational unity commitment to equal opportunity; shows progress toward achieving an integrated/representative work force; and contributes toward minority/female programs and other social/economic equal opportunity goals.

7. Planning and Appraising Faculty Member Performance

Administers FPMS program for subordinate faculty member on a timely basis.