

KCTCS

Strategic Planning and Faculty Performance Planning and Evaluation (PPE)

A Handbook for KCTCS Faculty Employees



KCTCS is an equal opportunity employer and education institution.

KENTUCKY COMMUNITY & TECHNICAL COLLEGE SYSTEM

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Planning is a cornerstone of the Kentucky Community and Technical College System (KCTCS). The KCTCS System and its 16 colleges are made up of internal stakeholders including administrators, faculty, and staff committed to excellence in providing services to external stakeholders consisting of students, employers of students, and society. Excellence is attained through effective and efficient planning at all levels involving all stakeholders.

Planning provides the means by which major directions are established for KCTCS and the individuals employed by KCTCS. There are two major categories of planning addressed in this handbook. They are Strategic Planning and Performance Planning.

Strategic Planning is a process of determining an organization's goals (long and short-term) and then identifying the best approach for achieving those goals. KCTCS strategic planning is done both on the system level and at the KCTCS colleges.

Performance Planning and Evaluation (PPE) is done by all regular KCTCS faculty employees in conjunction with their supervisors as a method of recording major position responsibilities and performance expectations and measuring their successes.

All KCTCS planning processes are integrated to ensure System and college faculty employees are not only aware but also engaged in creating the premier community and technical college system in the nation.

KCTCS Values

- Responsiveness to students, employers, and communities.
- Access with innovative and flexible delivery.
- Trust, respect, and open communication.
- Continuous improvement.
- Inclusion, multiculturalism, and engagement.

KCTCS Vision

To be the nation's premier community and technical college system.

KCTCS Mission

The mission of KCTCS is to improve the employability and quality of life of Kentucky citizens as the primary provider of:

- College and Workforce Readiness.
- Transfer Education.
- Workforce Education and Training.

KCTCS Strategic Goals

- Advance excellence and innovation in teaching, learning, and service.

- Cultivate diversity, multiculturalism, and inclusion.
- Increase student access, transfer, and success.
- Enhance the economic and workforce development of the Commonwealth.
- Promote the recognition and value of KCTCS.

KCTCS Performance Planning and Evaluation

KCTCS has an effective Performance Planning and Evaluation (PPE) process in place for use by all regular KCTCS faculty employees. The process is designed to facilitate an open discussion for all faculty employees and their supervisors in defining job expectations and corresponding outcomes and aligning them with the *KCTCS Strategic Goals 2010-16*.

2010-16 Strategic Goals

- Advance excellence and innovation in teaching, learning, and service.
- Increase student access, transfer, and success.
- Cultivate diversity, multiculturalism, and inclusion.
- Enhance the economic and workforce development of the Commonwealth.
- Promote the recognition and value of KCTCS.

The *KCTCS Faculty Performance Planning and Evaluation Form* is used in the PPE process. The annual evaluation becomes a natural extension of performance planning. From the performance planning process to completion of the final evaluation, an effective performance evaluation process is a continuous year-long cycle as summarized by the following chart:



The KCTCS policies governing performance evaluation include Administrative Policies and Procedures 2.5 (“KCTCS Performance Review”), 2.6 (“Promotion in Rank”), and 2.11

("Workload"). While the performance review cycle will be for a fiscal year (July 1–June 30), evaluations will be completed by May 15 each year.

In addition to the annual evaluation, mid-year evaluations (see Section II) may be conducted at the discretion of the college and/or department, as well as for individual faculty employees with work performance issues that need to be addressed.

An Initial Employment Period evaluation for new faculty employees should be completed immediately prior to the end of the 6-month Initial Employment Period. In addition, supervisors should meet with their faculty employee on two (2) earlier occasions during the course of the Initial Employment Period for the purpose of providing feedback about the new faculty employee's progress.

The Performance Planning Process (Section I) ***To be conducted and signed no later than August 31***

The Planning Process (**Section I**) is the first step in the evaluation cycle and it relates organizational goals to individual performance. In the Planning Process, the supervisor and faculty member will work together to jointly identify specific activities and corresponding goals for the faculty member's performance plan to address within all of the following areas that are applicable: Position Responsibilities, Professional Development, Internal Service, External Service, and Leadership.

Relative weight/importance of each dimension; and performance expectations and standards will be assigned. At least one or more of the areas will be applicable; however, **not all areas in Section I will be applicable to every faculty member.** *(To have additional space available for entering more than ten (10) items, click on the "Table" pull-down menu, then click on "Insert" and on "Rows Below".)*

When there is a significant change in the position duties during the course of a performance year, a revised planning document will be prepared.

The evaluator holds the initial meeting with the faculty member to discuss the applicable areas of responsibility:

Position Responsibilities

List major activities of job. Not every specific duty is to be listed; job duties should be categorized. At least 3 activities are to be listed.

Position Responsibility activities will be based on the following:

Faculty and Administration In accordance with KCTCS Administrative Procedure 2.11 and based on Distribution of Effort Agreement form, job descriptions, job specifications, and/or other assigned duties

Faculty Examples: academic instruction, curriculum development/revision, Classroom/laboratory maintenance, teach-outs, special initiatives/problem-solving, Revision of course syllabi, outlines, and other instructional materials, Attendance at curriculum meetings, development of clinical affiliations, development of new teaching (learning communities, collaborative learning) and delivery methodologies, creation of on-line/web-enhanced course(s), other distance education initiatives, recruitment, retention, and enrollment management, follow-up activities, preparation, grading, maintaining advisory committees (minimum of two meetings per year for technical/occupational programs), academic advising, registration, orientation, testing activities, workshops, advisor training activities, sponsorship of student groups, other.

Internal Service

Includes activities as follows:

- Related to your role at college
- Not part of routine Job Responsibilities
- May or may not occur during regular work hours

Faculty Examples: committee involvement, workshop facilitation, continuing education, development of new program proposals, activities related to program accreditation or program licensure requirements, recruitment and marketing, grant proposal preparation, mentoring of new faculty, other.

External Service

Includes activities as follows:

- Related to your role at college
- Not part of routine Job Responsibilities
- May or may not occur during regular work hours

Faculty Examples: Serving on community boards, foundation, committees, commissions, Workshop facilitation, Continuing Education or customized industry courses, Forums and community meetings, Delivering lectures or seminars, Providing professional assistance, Arranging fine arts events, cultural events, and recreational events, Working with K-12 Schools, Other.

Professional Development

Includes activities as follows:

- Any credit/non-credit learning activity related to job role, i.e. conference, seminar, class
- Activity advances in your job expertise, knowledge, or skill
- Membership and/or participation in a professional organization

Faculty Examples: Coursework or degree completion, Staff exchange, Seminars, Workshops, Participation in professional organizations and meetings, Industry visits, Publication, Conference presentations, other.

Leadership

Leadership is defined as – “serving in a defined college or KCTCS role or a related professional role that has a leadership component, or on a major college or KCTCS committee assignment.”

Faculty Examples: Program Coordinator, Division Chair, Manager, Program Director, Committee Chair or similar role, leadership in professional organizations, academic administration, serving as an institutional representative (district level, KCTCS committees, Faculty Senate, regional level, state level, or national level), Other.

The evaluator presents the draft planning document with planning information to the reviewing officer for final approval and signature. Then the evaluator presents the final planning document to the faculty member and obtains their signature in the Planning Process signature box. The completed form is used as the evaluation form at the end of the evaluation cycle. Evaluators should give faculty members an approved copy of their form after the Planning Process is completed.

Feedback/Progress Report

Various methods will be used to obtain feedback on performance. The methods may include peer and student feedback, as well as feedback of supervisors, managers and administrators from faculty employees in their work area.

The Mid-Year Evaluation (Section II)

Mid-year evaluations are strongly suggested, but, may be conducted at the discretion of the college and/or department, or as needed for individual faculty employees to address their work performance issues.

The Evaluation Process (Section III)

The evaluator completes the evaluation document based on the faculty member's performance for the evaluation period. Faculty employees may complete a self-assessment by reviewing the planning document prior to the evaluation meeting and sharing feedback on outcomes with their manager.

In the **Outcomes** subsection:

Faculty employee and/or evaluator lists the outcomes achieved during the evaluation period. *(To have additional space available for entering more than ten (10) items, click on the "Table" pull-down menu, then click on "Insert" and on "Rows Below".)*

In the **Overall Evaluation Rating/Summary** subsection:

Evaluator provides evaluation comments and rates the faculty employee based on how well they met the previously outlined Goals/Results Expected.

After the evaluator has completed the evaluation form, it is presented to the reviewing official (normally the evaluator's supervisor) for review and signature. After the reviewer signs the form, the evaluator schedules a meeting with the faculty employee to discuss the evaluation. This meeting may also include a discussion of the Planning Process for the next year's evaluation as appropriate. The evaluator obtains the faculty employee's signature on the evaluation form.

Ratings Categories

Five (5) ratings categories to be used in evaluating performance:

CONSISTENTLY EXCEEDED EXPECTATIONS OF JOB REQUIREMENTS (EE)

Job performance was continuously performed in an exceptional manner. Contributions significantly and consistently exceeded expectations and requirements based on established success criteria, with exceptional quality, quantity and timeliness of work. Consistently achieved outstanding results well beyond those expected of the position and helped accomplish the KCTCS strategic plan by aligning action plans with the strategic goals.

MET AND FREQUENTLY EXCEEDED JOB REQUIREMENTS (ME)

Job performance consistently met and frequently exceeded the expectations and requirements for the position based on established success criteria. Contributions consistently met and frequently exceeded expected criteria for quality, quantity and timeliness of work. Frequently achieved results beyond those expected for the position and helped accomplish the KCTCS strategic plan by aligning action plans with the strategic goals.

FULLY MET JOB REQUIREMENTS (M)

Job performance consistently met the expectations and requirements for the position based on established success criteria. Contributions occasionally exceeded expected criteria for quality, quantity and timeliness of work and helped accomplish the KCTCS strategic plan by aligning action plans with the strategic goals.

SOME IMPROVEMENT NEEDED TO MEET JOB REQUIREMENTS (NI)

Certain job duties were performed capably; however, improvement in quality, quantity and/or timeliness of work is required in order to fully meet expectations and requirements for the position based on established success criteria.

A Performance Improvement Plan may be developed by the supervisor to facilitate improvement by the faculty employee. Performance shall be evaluated again in six months. Significant and immediate improvement in quality, quantity, and timeliness of work is necessary in order to avoid disciplinary action and/or termination of employment in accordance with KCTCS policies and procedures regarding employee termination and disciplinary action.

DID NOT MEET JOB REQUIREMENTS (F)

Performance throughout the rating period did not meet the job requirements and expectations for the position based upon established success criteria.

A Performance Improvement Plan shall be immediately developed by the supervisor to facilitate improvement by the faculty employee. Performance shall be re-evaluated based on the Performance Improvement Plan and the evaluation goals in at least three months, in six months and again thereafter if determined necessary. Significant and immediate

improvement in quality, quantity and timeliness of work is necessary in order to avoid disciplinary action and/or termination of employment in accordance with KCTCS policies and procedures regarding employee termination and disciplinary action.

General Instructions

For Areas of Effort

- Percent of effort in each area is to be determined collaboratively by supervisor/faculty employee during planning phase.
- Not all five (5) areas of effort will necessarily apply to every faculty employee.
- “Goals/Results Expected” subsection should be completed during planning process.
- The “Outcomes” subsection should be completed during the evaluation process by supervisor and/or faculty employee.
- Specific activities to be listed under each area are to be determined collaboratively by the supervisor and faculty employee.
- Evaluation covers work performance during the designated performance period. The performance period is July 1– June 30.
- Supervisors should ensure that all faculty employees have accurate job description/responsibilities and/or job analysis questionnaires in writing at the beginning of the performance period.
- Supervisors should inform faculty employees of new/revised job responsibilities and update job descriptions as changes in the position duties occur.

Monitoring

KCTCS Human Resources staff will continue to monitor the success of this process in the future and additional recommendations will be made as appropriate.

Appeals

Faculty employees utilize the faculty appeals procedure per KCTCS Administrative Policy 2.5.