

Change Initiative:
Employee Performance Evaluation Instrument and Process
at Butler Community College
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Abstract

This paper's objective is to present a change initiative for the employee performance evaluation instrument and process at my organization, Butler Community College. I will begin by providing background information about Butler and its employees, as well as how a specific group of employees are evaluated. Then, I will discuss the current employee performance evaluation instrument and process for this group of employees, followed by my change initiative for the evaluation instrument and process. To conclude, I will present the positive aspects that would be achieved by this change initiative.

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Introduction

Butler Community College was founded in 1927 in El Dorado, Kansas. Today, Butler offers classes not only at its El Dorado campus but in Andover, Council Grove, Marion, Rose Hill, online, and in Wichita at McConnell Air Force Base. Butler's service area includes the counties of Butler, Chase, Greenwood, Marion, and Morris. Butler is the fifth largest college in Kansas with approximately 10,000 students. Butler has the typical higher education organizational structure:

- President
- Vice Presidents
- Deans
- Directors
- Assistant Directors
- Professional Staff
- Support Staff

Butler employs approximately 950 people. Almost 400 of them are full-time employees, with 110 permanent part-time and 450 adjunct faculty per semester (Butlercc, 2011). The change initiative I am presenting is specifically for Butler's administrative, institutional support, and operational staff. As stated in the Butler Community College 2010 Employee Handbook, these employees are evaluated according to the following:

Evaluations

Regular, periodic, written performance evaluations are an integral part of the continuing growth of Butler's administrative, institutional support and operational staff. At Butler, all of these employees will receive a written evaluation ninety (90) days after starting a new

position. Annual evaluations are performed in April and interim evaluations are done in October.

At Butler, evaluations are used to highlight the areas of work at which employees excel as well as those areas in which employees need improvement. During the evaluation process employees will be expected to establish goals for professional development and implementation of the Learning College Principles. Evaluations are intended to help every employee become the best he or she can be, to foster strong communication between employees and their supervisors, and to give employees a greater sense of job satisfaction.

The immediate supervisor will perform the evaluation, discuss it with the employee and forward the original form to the Human Resources Office. Supervisors may conduct an evaluation at any other time during the year when they feel it is necessary. If the standard form is not used for additional evaluations, other written documentation concerning performance should be forwarded to the Human Resources Office for the employee's official file. Any material that serves as an evaluation of the employee's performance must be discussed with that employee and signed by both parties.

This policy does not apply to Butler Professional Employees. Please refer to Section 6, Professional Employee Evaluations for procedures and timelines (Butler, 2010).

Body

The change initiative I am presenting is not how and when the employee performance evaluations are completed for this specific group of employees, rather the instrument that is used for the evaluation, which would in turn create a new process.

The current evaluation instrument (Appendix A) is an eight-page, cumbersome (in my opinion) document. The directions for completing the evaluations are a full page, single spaced and include sending the employee the self appraisal (section five) so he/she can complete that section while the supervisor completes sections one through four. The employee then sends the self appraisal back to the supervisor so the supervisor can add section five to sections one through four. Once this is complete the supervisor must send the evaluation to human resources for approval. Following approval from human resources, the supervisor schedules the face-to-face evaluation session so the employee and supervisor can go through the document together. They both sign, make comments if needed, make a copy for the employee, and send back to human resources for the employee's file.

Sounds sort of simple, huh? Well, take a closer look at the instrument. When the supervisor completes sections one through four, for each rating the supervisor must provide supporting comments that directly relate to the rating. This is specifically what human resources is looking at during the approval process. And, if the comments do not support the rating, human resources sends it back to the supervisor to make adjustments. The supervisor makes the adjustments and re-sends it to human resources until it is approved. Another aspect of the evaluation instrument to take a closer look at is the rating system and the fact that each section is weighted. The supervisor practically has to be a math major to figure this out. Additionally, when human resources electronically sends each employee evaluation to the supervisor, each position description is also sent and has to be reviewed,

updated, and signed during the face-to-face evaluation session. However, the paperwork is not yet complete. The directions for this entire process are also electronically sent, as well as the Butler Learning College Principles. You can see that section three of the evaluation instrument relates to the Butler Learning College Principles, and that document has to be sent too so the employee and supervisor can establish goals related to the Principles. The Butler Learning College Principles include:

Butler Learning College Principles

As a dynamic, responsible Learning College, Butler faculty, staff and administration:

FOCUS ON LEARNING

We seek student and stakeholder feedback and use that feedback to shape programs and services that are directly related to their learning needs. We rely upon documented evidence to determine that improved and expanded learning takes place.

ASSUME PERSONAL RESPONSIBILITY

We assume responsibility and ownership in helping to achieve and maintain performance standards that contribute to the college's mission and key performance indicators.

ADVANCE ACTIVE ENGAGEMENT IN LEARNING

We act as learning facilitators, engaging students and co-workers in a variety of learning experiences inside and outside the classroom setting.

PROVIDE MULTIPLE LEARNING OPPORTUNITIES

We sustain safe, functional and inviting learning environments to offer a variety of programming and services options that meet the learning needs of students and other

stakeholders.

VALUE OUR HUMAN RESOURCES

Through our active engagement in systematic institutional and personal growth and development, we foster a climate of excellence in which all employees are empowered to contribute to the advancement of the college's mission, vision and learning college principles.

MAKE DECISIONS BASED ON FACTS

We use the best available integrated data, information and performance measures to facilitate student learning, to guide our continuous improvement efforts at the department, division and college-wide levels, and to guide our daily planning and decision-making.

PLAN STRATEGICALLY FOR THE FUTURE

We plan with the future in mind, using a strategic planning model that allocates limited resources for optimum effectiveness, productivity and efficiency in meeting student and other stakeholder needs.

RESPOND WITH AGILITY

We effectively respond to opportunities, changes and threats in our environment, continually seeking new or adapted ways to respond to the learning needs of our students and other stakeholders.

LINK WITH EXTERNAL COMMUNITIES

We foster mission-related linkages and partnerships to address student and stakeholder needs and to contribute to the economic and social well-being of our region.

MODEL OUR PRINCIPLES AND TIMELESS VALUES

Administration inspires faculty, staff and students also to model the Learning College Principles and the college's timeless institutional values of Quality, Integrity, Service and Caring (Butlercc, 2011).

Besides this cumbersome process, the following is a list of the paperwork that is necessary to complete the employee performance evaluation for each employee in this specific group:

- Directions (one page)
- Position Description (two pages)
- Evaluation Instrument (eight pages)
- Butler Learning College Principles (one page)

After the supervisor and employee make it through the cumbersome process and paperwork, they finally get to meet face to face to discuss the evaluation and set goals for the upcoming year. All of this is great, however, the evaluation document is not reviewed by deans, vice presidents, or the president, nor is it used for incentives. Basically the evaluation document is simply for the supervisor and employee, which is where the consistency falls short. Not all supervisors are the same and if the supervisor and employee do not continually re-visit the evaluation, they lose sight of the goals and areas that need improvement.

A cumbersome, 12 pieces of paper, inconsistent evaluation process is the reason I am proposing a change initiative for the employee performance evaluation instrument and process at Butler Community College. The current process is disliked by all employees that I have talked with about it, and according to the textbook *Quality Management: Creating and Sustaining Organizational Effectiveness*, "Processes are improved through value-added process mapping, problem isolation,

root cause analysis, and problem resolution...The key to refining processes is to concentrate on the process from the customer's point of view and to identify and eliminate non-value-added activities" (Summers, 2009, p. 320). I believe this change initiative would concentrate on the customer's (employee's) point of view and turn this non-value-added activity into a positive activity.

My change initiative follows the task alignment theory and according to our text on pages 234 through 238, the critical path for task alignment includes:

1. *Mobilize commitment to change through joint diagnosis of business problems.* I propose that the human resources department bring together a wide-range of employees to form a change initiate group and get their feedback on the current employee performance evaluation instrument and process. Just as I have discussed this issue with several employees (deans, directors, and support staff) at different meetings over the past two years, I believe that human resources would find a general consensus that the current evaluation instrument and process is cumbersome, inconsistent, and does not lend itself to a productive face-to-face evaluation meeting between the supervisor and the employee.
2. *Develop a shared vision of how to organize and manage for competitiveness.* The change initiative group would then be led by human resources to choose a new evaluation instrument and process, and just as our text states, "These new arrangements will coordinate the flow of information and work across interdependent functions at all levels of the organization. But since they do not change formal structures and systems like titles or compensation, they encounter less resistance" (Jick and Peiperl, 2003, p. 235).
3. *Foster consensus for the new vision, competence to enact it, and cohesion to move it along.* This is where the president and vice presidents come in to play as they foster consensus for

the new evaluation instrument and process. I believe this will be easy to accomplish since a wide-range of employees would be involved in changing the instrument and process, and the current instrument and process are not well liked.

4. *Spread revitalization to all departments without pushing it from the top.* Rather than the president and vice presidents guiding supervisors and employees through the new evaluation instrument and process, members of the change initiative group would hold a number of information/training sessions at our various campuses, and human resources could keep track that each employee attended at least one session. Employees could also attend more than one session if they felt they needed to in order to gain adequate information/training.
5. *Institutionalize revitalization through formal policies, systems, and structures.* Human resources, along with the change initiative group, would re-organize the employee performance evaluation instructions, as well as edit the evaluation policy in the employee handbook.
6. *Monitor and adjust strategies in response to problems in the revitalization process.* Once the new system is in place and supervisors and employees have gone through the process once, the change initiative group and human resources would conduct an evaluation. If necessary, they would incorporate changes in response to the issues indicated. The change initiative group would evolve into the employee performance evaluation review team and every two to three years the members of this team would change, involving as many employees as possible on a rotating basis. This team would continually monitor the employee performance evaluation instrument and process and as our text states, "This learning enhances effectiveness even further and results in an even stronger commitment to change" (Jick and Peiperl, 2003, p.

238).

Conclusion

This change initiative would change the behavior of supervisors and employees, resulting in better attitudes among supervisors and employees about the employee performance evaluation system and process. This in turn would lead to more productive and meaningful face-to-face evaluation sessions.

I believe this change initiative would be a success whether or not it included incentives based on the employee performance evaluation. I also believe the change would incorporate a more consistent process for our evaluation system, as well as be less cumbersome. All of this would lead to improved supervisor and employee attitudes, which directly affect the work we do each day with our most important asset, our students.

References

Butler Community College Employee Handbook. 2010.

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Jick, T.D. & Peiperl, M.A. (2003). *Managing change: cases and concepts* (2nd ed.). New York, NY: McGraw-Hill.

Summers, D.C.S. (2009). *Quality management: creating and sustaining organizational effectiveness* (2nd ed.). Upper Saddle River, NJ: Prentice-Hall.

Appendix A

Employee Name:		Date Hired:	
Period Covered by This Evaluation:		Evaluator Name:	

Instructions:

Complete this Performance Evaluation for the above Butler Community College (Butler) employee. If completed in paper form, use ink and write legibly. If completed electronically, use the Tab key to navigate from field to field. Review the entire document carefully before beginning. Illustrate specific, detailed examples of goals, results and job related behavior since the last evaluation. Supporting data, examples and/or justification must be provided for all ratings that are Exceptional (5) and Unsatisfactory (1). Continue comments on a separate sheet if needed. Completed evaluations will be reviewed before discussing with the employee to evaluate ratings and comments to ensure objectivity, lack of rater errors, and consistency. After approval, the evaluation will be reviewed with the employee. It is important to establish agreed upon objectives/goals for the next year as well as training plans for each of your staff. Use the following 1-5 rating scale:

Exceptional	Performance and contribution to Butler's success is of the highest order. A very high level of performance characterized by the potential of the job being developed to the fullest. A confident reaction under stress and sureness of approach at all times indicates exceptional judgment and initiative. Performance is integrated very well with the overall activities of Butler and no direct assistance, other than general guidance, is necessary. Objectives are consistently met. Takes on additional assignments without negatively affecting other work.	5
Consistently exceeds expectations	Performance exceeds job requirements and normal expectations; contributes significantly to Butler's success over and beyond job demands. Completes regular work and projects on or ahead of schedule.	4
Meets expectations	Performance meets all the requirements of the job and all the expectations, in terms of contribution to Butler, which are outlined in the job description. By definition, this is very satisfactory performance. Objectives are normally met; overall results are good and integrated well with the activities of Butler. Lapses, if any, from this standard may be caused by unfamiliar circumstances, excessive pressure, or lack of specific knowledge. These, however, are usually corrected by quick reference to management and only rarely affect Butler or progress of work.	3
Below expectations	Performance meets most, but not all, job requirements and normal expectations; does not consistently meet acceptable standards; requires more than minimum help from management and others. Does not produce quantity, quality and timelines of work expected on a consistent basis. Employee has performance deficiencies, but shows willingness and ability to overcome them.	2
Unsatisfactory	Performance fails to meet job requirements. Employee has major performance deficiencies that cannot be corrected easily. Little reliance can be placed upon the work produced except in routine tasks. Progress against objectives demands close supervision; work is not always integrated with Butler as a whole. Overall, evaluations at this level must bring into question suitability for continued employment.	1

Section 1 – Competencies in the Performance of Functional Responsibilities

Knowledge/Skills/Abilities	Rating
Administrative Responsibilities <i>Supporting Comments:</i>	
Supervisory Responsibilities <i>Supporting Comments:</i>	
Recruitment <i>Supporting Comments:</i>	
Leadership <i>Supporting Comments:</i>	
Community Relations <i>Supporting Comments:</i>	
General Duties <i>Supporting Comments:</i>	

Average Rating for Knowledge/Skills/Abilities:

Total Rating Values: Add all ratings for Knowledge/Skills/Abilities.	
Average Rating: Total Rating Values divided by number of Knowledge/Skills/Abilities.	

Previous Year:

Objectives/Goals	Results/Significant Accomplishments	Rating

Average Rating for Previous Year Objectives/Goals:

Total Rating Values: Add all ratings for Previous Year Objectives/Goals.	
Average Rating: Total Rating Values divided by number of Previous Year Objectives/Goals.	

Upcoming Year:

Objectives/Goals	Follow-Up Dates	Action Steps	Resources/Tools

Average Rating for Competencies in the Performance of Functional Responsibilities:

Total Average Rating: Add Average Ratings for Knowledge/Skills/Abilities and Previous Year Objectives/Goals.	
Average Rating: Total Average Rating for Knowledge/Skills/Abilities and Previous Year	

Objectives/Goals divided by 2.	
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Section 1 Weight:

Section Weight: Established by supervisor. This section weight is not to exceed 85%.

	Weight (70-85%)	Average Rating for Competencies in the Performance of Functional Responsibilities
Section 1	%	

Section 2 – Professional Development

Document at least two professional development activities that the employee has accomplished throughout this review period. Examples of these activities may be found on the Professional Development Activities document.

Previous Year:

Objectives/Goals	Results/Significant Accomplishments	Rating

Upcoming Year:

Objectives/Goals	Follow-Up Dates	Action Steps	Resources/Tools

Directions:

Section Weight: Established by supervisor. This section weight is not to exceed 15%.

Total Rating Values: Add all rating values from Section 2.

Count of Professional Development Objectives/Goals: Count the total number of rated Professional Development Previous Year Objectives/Goals.

Average Rating: Total Rating Values divided by total number of Professional Development Previous Year Objectives/Goals.

	Weight (5-15%)	Total Rating Values for Professional Development Objectives/Goals	Count of Professional Development Objectives/Goals	Average Rating for Professional Development

Section 2	%			
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Section 3 – Butler Learning College Principles

Document at least two Butler Learning College Principles that the employee has demonstrated throughout this review period. Examples may be found on the Butler Learning College Principles document.

Previous Year:

Objectives/Goals	Results/Significant Accomplishments	Rating

Upcoming Year:

Objectives/Goals	Follow-Up Dates	Action Steps	Resources/Tools

Directions:

Section Weight: Established by supervisor. This section weight is not to exceed 15%.

Total Rating Values: Add all rating values from Section 3.

Count of Butler Learning College Principles Objectives/Goals: Count the total number of rated Butler Learning College Principles Previous Year Objectives/Goals.

Average Rating: Total Rating Values divided by total number of Butler Learning College Principles Previous Year Objectives/Goals.

	Weight (5-15%)	Total Rating Values for Butler Learning College Principles Objectives/Goals	Count of Butler Learning College Principles Objectives/Goals	Average Rating for Butler Learning College Principles
Section 3	%			

Section 4 – Summary of Evaluation

Directions:

Using the evaluator's ratings from the previous three sections, utilize this area to summarize the employee's overall performance rating.

Weight: Established by supervisor for each section. The total weight is not to exceed 100%.

Decimal: Convert the weight to a decimal (Ex. 75% = .75).

Evaluator's Rating: Copy the average rating for each section.

Weighted Contribution: Decimal multiplied by Evaluator's Rating.

Evaluation Sections	Weight (0-100%)	Decimal (0.00 – 1.00)	Evaluator's Rating (1-5)	Weighted Contribution
1 – Competencies in the Performance of Functional Responsibilities	%	0.		
2 – Professional Development	%	0.		
3 – Butler Learning College Principles	%	0.		
SUMMARY	%		--	

Employee's Comments:

Consistency Review Signature:	Date:
Employee Signature:	Date:
Management Signature:	Date:

Employee signature indicates an acknowledgment of the completed evaluation process and does not necessarily represent agreement with the supervisor's ratings or evaluative comments.

Section 5 – Self-Appraisal

Employee Name:		Date Hired:	
Period Covered by This Evaluation:		Evaluator Name:	

Instructions:

The Performance Evaluation is a communication tool designed to support each employee's contribution to Butler Community College (Butler). The evaluation provides a way to measure skills and accomplishments with reasonable accuracy and uniformity. It provides you with a tool to help identify barriers to top performance. It should help identify areas for professional growth. The objective of this summary is to provide an opportunity to reflect upon actual work, ensure agreement with your supervisor regarding accomplishments and priorities, and foster effective communications between both. It should not, however, be considered your only communication tool. Open lines of communication throughout the year prevent barriers from rising and help to create effective working relationships. Your completed self-appraisal should be provided to your supervisor prior to your performance evaluation meeting. All Exceptional (5) and Unsatisfactory (1) ratings must support and be substantiated by narrative comments. Attach any additional pages needed to complete this form. Use the following 1-5 rating scale:

Exceptional	Performance and contribution to Butler's success is of the highest order. A very high level of performance characterized by the potential of the job being developed to the fullest. A confident reaction under stress and sureness of approach at all times indicates exceptional judgment and initiative. Performance is integrated very well with the overall activities of Butler and no direct assistance, other than general guidance, is necessary. Objectives are consistently met. Takes on additional assignments without negatively affecting other work.	5
Consistently exceeds expectations	Performance exceeds job requirements and normal expectations; contributes significantly to Butler's success over and beyond job demands. Completes regular work and projects on or ahead of schedule.	4
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	suitability for continued employment.	
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Knowledge/Skills/Abilities**Rating**

Administrative Responsibilities <i>Supporting Comments:</i>	
Supervisory Responsibilities <i>Supporting Comments:</i>	
Recruitment <i>Supporting Comments:</i>	
Leadership <i>Supporting Comments:</i>	
Community Relations <i>Supporting Comments:</i>	
General Duties <i>Supporting Comments:</i>	

Average Rating for Knowledge/Skills/Abilities:

Total Rating Values: Add all ratings for Knowledge/Skills/Abilities.	
Average Rating: Total Rating Values divided by number of Knowledge/Skills/Abilities.	

Previous Year:

Objectives/Goals	Results/Significant Accomplishments	Rating

1. List your most significant accomplishments or contributions during this evaluation period. How do these achievements align with your performance objectives/goals?

2. During this evaluation period, have you successfully performed any new tasks or additional duties outside the scope of your regular responsibilities? If yes, please specify.

3. To which of the following would you attribute your development during this evaluation period: seminars/classes, onsite training, peer training, management coaching or mentoring, on-the-job experience, better exposure to challenging projects, better understanding of job, other - please describe.

4. Describe areas you feel require improvement in terms of your capabilities. List the steps you plan to take and/or the resources you need to accomplish this.

5. Studies have shown that high customer satisfaction and employee satisfaction are closely linked. What are your ideas for improving Butler Community College's client and/or employee satisfaction?

6. State two to five objectives/goals for the coming year and indicate how you plan to accomplish them.