

**STATE BOARD FOR TECHNICAL AND COMPREHENSIVE EDUCATION  
PROCEDURE**

**PROCEDURE NUMBER: 8-4-101.1**

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**TITLE: FACULTY PERFORMANCE MANAGEMENT  
SYSTEM (FPMS)  
POLICY  
REFERENCE NUMBER: 8-4-101  
DIVISION OF  
RESPONSIBILITY: HUMAN RESOURCE SERVICES**

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**DATE OF LAST REVISION: October 13, 1999**

**Associate Executive Director Executive Director**

**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.**

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 Faculty Performance Management System (FPMS).

**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.

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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 in 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 members.
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 training needs.

B. Faculty members to be Appraised All faculty members who occupy permanent positions shall have their performance evaluated in accordance with the FPMS program.

C. Orientation and Training

Orientation on the Performance Management System for all faculty members of the State Tech System is encouraged.

Supervisory faculty members should also receive training that will concentrate on the criteria for evaluating the individuals they supervise.

D. Retention and Dissemination

All performance appraisal documents, shall become a permanent part of the faculty members official Human Resource Management 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

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final appraisal document.

E. Only the standard state of South Carolina 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 faculty member'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 faculty member with day-to-day feedback on the performance of his/her duties and responsibilities. Also, it shall be mandatory for all raters 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 the it with 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 Chief Executive Officer may designate additional levels of concurrence. 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 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.

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### IV. TYPES OF PERFORMANCE APPRAISALS

#### A. Probationary Performance Appraisal

The performance of each faculty member who has been given an original appointment shall be appraised prior to the completion of their initial two full academic years (probationary period) of state service. 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 "Satisfactory Performance" rating with all rights and privileges of a covered faculty member. Until a faculty member has successfully completed the probationary period, an 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. If a faculty member completes this probationary period before the end of an academic year, his or her next regular performance appraisal will be completed at the end of that same academic year for the entire academic year's performance.

#### B. Regular (Annual) Performance Appraisal

All faculty members in permanent positions shall have a regular (annual) performance appraisal no more than ninety (90) calendar days prior to their 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 Resource 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 "Satisfactory Performance" by default.

- C. 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, identify serious errors in a faculty member's overall performance or simply give the

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faculty member feedback. For addressing substandard performance, see Section V.C. below. Interim performance appraisals shall not be used to calculate retention points for reduction in force purposes.

D. Other Options

1. 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 locations' FPMS Policy and Procedure.
2. Each college and the State Tech Board may establish a numerical weighting system for evaluating faculty members.
3. Each college and the State Tech Board 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 Associate Director for Human Resource Management of the State Tech Board 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 at one of three (3) levels of performance as follows:

BELOW PERFORMANCE REQUIREMENTS (B) -  
Substandard work performance that is below the job

requirements and expectations as evaluated according to the success criteria. Before this rating is given for overall substandard performance, a review process must take place that includes a written warning and meetings with the faculty member. (See Substandard Performance, Section V.C.). Any faculty member who receives an overall rating of "Below Performance Requirements" must be removed from the position (demoted, terminated, or reassigned).

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**SATISFACTORY PERFORMANCE(S)**- 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.

**EXCEEDS PERFORMANCE REQUIREMENTS (E)** - 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 "Exceeds Performance Requirements."

To interpret the three rating levels above to the previous four level rating system, use the following:

Standard Four Level Rating Three Level Rating

Exceeds Requirements Converts To Exceeds Requirements

Meets Requirements Converts To Satisfactory Performance

Below Requirements Converts To Below Requirements

B. Performance Characteristics (also see Section VII.D)

The performance characteristic - 'Promote Equal Opportunity' is required for supervisors and managers. Other performance characteristics, if used, should be evaluated as either "Acceptable" (meets satisfactory requirements) or "Unacceptable" (fails to meet satisfactory 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

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requirements and will result in a faculty member receiving a formal rating of "Below Performance Requirements" unless improvement is shown. If during the performance period a faculty member is considered "Below Performance Requirements" 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 permanent faculty members 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 rater must develop a work 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 "Below Performance Requirements" 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 warning period.
4. During the warning period, the faculty member and the supervisor 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 "Satisfactory Performance" 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 "Below Performance Requirements," 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 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 within that specified time or the faculty member will receive a "Satisfactory Performance" rating by default.
7. If an 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(s)/objective(s) which significantly impact 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 "Below Performance Requirements" 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 faculty member should be provided with notice of the possible consequences should performance again deteriorate.
8. Normally, a written warning for substandard performance may not extend

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beyond the faculty member's review date. If the warning notice is issued less than 30 days before the faculty member's review date, the review date would roll forward one day for each day the warning notice of substandard performance is in effect.

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 an faculty member is evaluated. Success criteria are statements/explanations of factors that specify the level of performance necessary to obtain a "satisfactory performance" rating. Performance characteristics may be alternatively used as success criteria.

#### VII. FPMS DOCUMENTS A. Planning Document

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 (optional) and performance characteristics. Additionally, success criteria should be established for each job function and optional objective if used. Job functions and objectives should be updated as necessary for major changes in 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 functions (and objectives, if used) for the upcoming year. After this discussion, the Rating Officer shall complete the planning 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 Reviewing Officer, the Rating Officer will meet with the faculty member to discuss the planning stage.

Each faculty member will sign the planning document indicating he/she has reviewed the criteria by which he/she will be rated. In those instances where the

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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 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 (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 document 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 supervisor and faculty member cannot agree upon the job functions, the supervisor'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.

Typically, for the purpose of the performance appraisal instrument, no job function should consist of less than ten percent (10%) of the faculty member's specific job duties on the position description. In most cases, items of less than ten percent (10%) can be grouped together with other items. When rating officers are having difficulty developing job functions, they should consult their

Human Resource Management Officer for assistance.

C. Objectives (Optional for faculty members)

Objectives are those specific projects, programs or other nonrecurring issues that should be focused upon by the faculty member during the rating period. These projects or program items 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 is optional, however. If they are used, success criteria must be developed for each objective. If used, objectives may be added or deleted during the rating period. Objectives should only be replaced or deleted if the objectives are no longer important or not a priority to the department. Objectives may be added if their completion date is within the rating period.

D. Performance Characteristics

Performance characteristics and their definition may be used to clarify the expectations 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 stage. The performance characteristics shall not be weighted in the determination of the overall performance rating. Any ratings given on the performance characteristics should be either 'acceptable' or 'unacceptable'.

The only required characteristic to be rated for supervisors/managers is Promote Equal Opportunity. Performance characteristic will be identified and defined for employees and a list published of standard characteristics. Additional characteristic may be added if they relate specifically to the job and if they are defined for the employee.

At the appraisal stage, comments should be made for ratings of "Unacceptable."

#### E. Overall Summary

In the overall summary of the appraisal document, the overall rating is made and space is provided for supervisory and faculty member comments.

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Narrative comment should be made by the supervisor on the faculty member's overall accomplishments, strengths and weaknesses related to the faculty member's performance over the rating period.

A narrative recommendation should be made by the Rating Officer on what action 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 "Exceeds Performance Requirements," or "Below Performance Requirements." While a justification is not required for a 'Satisfactory Performance' rating, written comments are encouraged.

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

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#### 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 well 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 illustrations; pacing the instruction over the semester; providing students with timely tests; 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 colleges' 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 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.

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## 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 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 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 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 faculty member makes minimum mistakes or errors that require correction.
8. Time Management - Faculty member 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.

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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 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 - Asks meaningful questions and listens closely and respectfully before offering comments.

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### 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.

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

##### 3. Delegating

Allocates responsibilities to faculty members to help develop their career potential. Uses staff faculty 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. 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 their abilities. Establishes faculty member motivation by giving faculty members timely and regular recognition and feedback for work performed. Ensures that

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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 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 Faculty Member Performance

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