The regular meeting of the University Staff Senate was called to order at 9:00am on Thursday, February 4, 2021 via Zoom by President David Balai.

Present: David Balai, Ian Toberman, Angie White, Domonique Crosby, Denyse Anderson, Cindy Cobetto, Jan Caban, Anne Cavanaugh, Darryl Cherry, William Dusenbery, Ken Holbert, Doug James, Carolyn Jason, John Milcic, Collin Van Meter, Anne Hunter (ex officio)

Excused: Anthony Fearon, Mark Ferrell, Shane Kessinger, Melanie Schoenborn

Absent: Jennifer Zurliene

Guests: Angie Barclay, Octavia Cross, Kelsey Cutright, Ryan Donald, Gretchen Fricke, Rachel Garrett, Jamie Grapperhaus, Teri Gulledge, Laura Jacobs, Rasheda King, Melissa Ringering, Zach Santos, Laura Schade, Bill Weidler

**APPROVAL OF MINUTES:**
Minutes for the January 7, 2021 regular meeting was approved as written.

**PUBLIC COMMENT:**
There was a question about the leave policy for employees who test positive. Employees can use sick time for quarantine for themselves or a family member; quarantine for close contact exposure uses other leave time or sick time. The CARES Act will be coming back at some point this year.

**ACTION ITEMS:**
Staff Senate elections will take place April 7-14. The open seats are CSNP 5, CSNP 6, CSNP 7, CSOR 3, CSOR 4, ASNR 2, ASRP 3, ESL CSOR/ASNR, ALT CSOR/ASNR; this includes the recent realignment of seats. The requirement for nomination signatures on the Petition for Candidacy has been waived this year as employees are not interacting in the same way due to COVID mitigations. Crosby requested a notice be sent to Senators who have expiring terms.

**UPDATES:**
Balai was out with COVID in January and missed some meetings. There is talk of removing the travel ban at the end of the semester.

Anderson and Cobetto are working to fill the ESL CSNP/ASRP vacancy. Eligible employees were contacted with a request to complete paperwork by March 1. Zoom will continue to be an option for attendance once in-person meetings resume.
The Policy Review Committee sent out revisions that are being made to the Employee Excellence Program (EEP), and a copy of the changes are attached.

The Public Relations, Diversity Initiatives, and Scholarship Committees submitted reports that are attached.

The University Planning and Budget Council (UPBC) heard from the Chancellor at their last meeting. There are three candidates for the Vice Chancellor for Diversity, Inclusion, and Excellence. Mandatory COVID testing had 6600 return tests of which only 32 were positive. Enrollment is down about 1% over this time last year. A musical composition by faculty member Kim Archer was part of the Presidential Inauguration. Tuition and fee recommendations are being presented along with possible budgets at the next Board of Trustees meeting. The Chancellor recommended those on campus to utilize Dining Services when possible. The UPBC continues to work on operating papers.

The Committee for Higher Administrator Performance Appraisal (CHAPA) will be sending out the survey for the Provost evaluation this month.

Two candidates were on campus for the Vice Chancellor for Diversity, Inclusion, and Excellence search. The committee has submitted pros and cons for each candidate to the Chancellor. A Qualtrics survey is available for feedback. The current plan is for a mid-late March start date as both candidates are currently university employees.

The SIU System Strategic Planning Committee is holding town halls on February 15 from 12-1pm and February 17 from 5-6pm to review goals and mission. They are open to both campuses, and registration is required.

UNFINISHED BUSINESS:
Unfinished business was covered in the UPBC report.

NEW BUSINESS:
Fricke brought forward a suggestion to partner with Counseling Services for a webinar about Faculty and Staff burnout and fatigue. The body expressed interest, and White will work on dates and getting information out to the community.

The Faculty Association proposed a joint statement requesting inclusion of university faculty and staff in the 1B vaccination group. There was a discussion, and it was noted that it would not impact spring or summer modalities. There was a motion to acknowledge the inclusion but to decline co-signing; it was seconded and adopted unanimously without further discussion.

ANNOUNCEMENTS:
Announcements were reviewed as listed on the agenda.

FUTURE AGENDA ITEMS:
There were no future agenda items.
ADJOURNMENT:
The meeting adjourned at 10:00 am.

Submitted by Anne Hunter, University Governance
STAFF SENATE MEETING
Zoom Meeting ID: 924-7748-1076, Password: chimegra
February 4, 2021 – 9:00am
AGENDA

I. CALL TO ORDER
II. APPROVAL OF MINUTES
III. PUBLIC COMMENT
IV. ACTION ITEMS
   a. Confirmation of Staff Senate Seats for 2021 Election
V. MONTHLY REPORTS
   a. Officers
   b. Constituency Representatives
   c. Staff Senate Committees
   d. University Committees
   e. Search Committees
   f. Ex-Officio
VI. UNFINISHED BUSINESS
   a. UPBC Update
VII. NEW BUSINESS
   a. Avoiding Burnout & Mental and Emotional Fatigue Session
   b. Joint Statement Regarding 19B Vaccination Group
VIII. ANNOUNCEMENTS
   a. Appointment to ListServ Monitoring Panel – Anne Cavanaugh
   b. Board of Trustees Meeting – February 11 at SIUE
IX. FUTURE AGENDA ITEMS
X. ADJOURNMENT

Next meeting of the Staff Senate Executive Committee will be Thursday, February 18, 2021 at 9:00am
Next regularly scheduled meeting will be Thursday, March 4, 2021 at 9:00am
## UNIVERSITY STAFF SENATE

### COMMITTEE QUARTERLY REPORT

<table>
<thead>
<tr>
<th>Committee Name</th>
<th>Scholarship Committee</th>
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<tr>
<td>Report Submitted By</td>
<td>Melanie Schoenborn</td>
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<tr>
<td>Role/Position</td>
<td>Chair</td>
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<tr>
<td>Quarter Submission</td>
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*If additional explanations for any section are necessary, please attach additional sheets.*

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**What is the general charge of the committee on which you sit?** *(This can be repeated from report to report.)*

The Scholarship Committee administers the scholarships that are offered on behalf of the Staff Senate. Please continue to support and promote its operations. See to it that the scholarship process is fair and impartial. Continue to work with the Public Relations Committee to advertise the opportunities and the Awardees.

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**Major Activities or Actions Since the Last Report**

The Faculty for Collective Bargaining Scholarship was opened for applications on Nov. 1 and closed on Nov. 30. The Committee members: Jan Cabon, Cindy Cobetto, Ian Toberman and myself reviewed the applicants via Academic Works. Those applicants were reviewed by Anne Hunter, University Governance Secretary to be eligible for this scholarship at this time. A comprise for the dispersal of the moneys appropriated was offered by myself and an email vote was taken with a unanimous conclusion.

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**Activities or Actions Under Consideration or In Development**

We would like to submit the following applicants as awardees for the FCB Spring 2020 Scholarship with moneys as noted:
- Noah Tungett - $700
- Courtney Vollmer - $300

There were three applicants and these two received the highest scores but Noah’s scores were much greater from each member of the Scholarship Committee so that is the reasoning for the differing amounts of money for the applicants.
### Areas of Particular Concern or Interest Relevant to the Staff Senate

Noah is a transfer student and will be Army ROTC. Courtney is continuing her education at SIUE to become a teacher.

### Questions, Challenges, and Resources Needed

The scores were from the approved evaluation tool. Please note that the essays are somewhat longer and more informative of each applicant with the new introduction which was recently approved.

### Goals and Action Items

We request that the Executive Board approve our awardees and direct Anne Hunter as the University Governance Secretary complete the process and notify the awardees and applicants and the USS Public Relations Committee Chairperson of the results so that they can share our new FCB Scholarship Awardees with the University community.

### Other Notes/Comments

This report is created for the Executive Board meeting of December 17, 2020 and also fulfills the requirement of a Quarterly Report for our Scholarship Committee for February 2021.
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<thead>
<tr>
<th>Committee Name</th>
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<td>Darryl C. Cherry</td>
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<tr>
<td>Quarter Submission</td>
<td>[ ] Aug  [ ] Nov  [X] Feb  [ ] May</td>
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If additional explanations for any section are necessary, please attach additional sheets.

What is the general charge of the committee on which you sit? (This can be repeated from report to report).

The Diversity Initiatives Committee is a committee of the University Staff Senate responsible for creating and promoting programs, training, and employee development in regard to diversity, inclusion, and cultural competency. The Diversity Initiatives Committee is expected to work with initiatives from the University Diversity Council.

Major Activities or Actions Since the Last Report

No activity to report at this time.

Activities or Actions Under Consideration or In Development

No activity to report at this time.
### Areas of Particular Concern or Interest Relevant to the Staff Senate

No activity to report at this time.

### Questions, Challenges, and Resources Needed

None at this time.

### Goals and Action Items

To create an exhaustive listing of Diversity, Equity, and Inclusion offerings and share with members.

### Other Notes/Comments

None
UNIVERSITY STAFF SENATE

COMMITTEE ACTION QUARTERLY REPORT

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<thead>
<tr>
<th>Committee Name</th>
<th>Public Relations Committee</th>
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If additional explanations for any section are necessary, please attach additional sheets.

What is the general charge of the committee on which you sit? (This can be repeated from report to report).

Promoting the identity, achievements, and programs of the Staff Senate, including the welcoming of new employees. It may create its own programs or work jointly with other committees to promote Senate programs and initiatives.

Major Activities or Actions Since the Last Quarterly Report

Two Upcoming Webinars with support of Staff Senate:

Potential for either March 8 & 9 or March 15, 16, and 17, 12:00-12:50: Avoid Staff/Faculty Burnout & Mental & Emotional Fatigue

Understanding Social Security for SIUe; potential Tuesday, April 20 11:30-1:00

Activities or Actions Under Consideration or In Development

Webinars
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<th>Areas of Particular Concern or Interest Relevant to the Staff Senate</th>
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<th>Questions, Challenges, and Resources Needed from Executive Board</th>
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Employee Excellence Program (EEP) Supervisor's Guide

Chapter 1: Introduction

Chapter 2: The Employee Excellence Program Process (3 Phase Process)

Chapter 3: Performance Improvement Plans (PIP)

Chapter 4: Completing the Employee Excellence Program Performance Evaluation Form

Chapter 5: Legal Context for the Performance Appraisal

Employee Excellence Program Supporting Forms

Chapter 1: Introduction

SIUE is committed to intellectual leadership and excellence in both developing new knowledge and conveying that knowledge. To achieve the University's goals and to promote personal growth and accomplishment for each employee, the Employee Excellence Program (EEP) has been developed by a team of staff members, including civil service and administrative/professional staff.

About This Guide

This guide is designed as a general overview of the EEP and supplements the EEP supervisory training information provided through the Office of Human Resources.

About the EEP

Designed to be an ongoing process, the EEP will:

- Enhance communication between supervisor and employee
- Clarify job responsibilities in the context of department/unit goals
- Provide performance feedback by reinforcing positive performance and supplying assistance where improvement is needed
- Encourage employee growth in current or future positions
- Provide an opportunity for coaching, counseling, and mentoring
- Provide a basis for making human resources decisions

How the Program Works

The EEP is a process through which a supervisor communicates with an employee about job purpose and components to establish a clear understanding of desired objectives and performance results and to provide the support needed to achieve those results. The program cycle consists of performance and development planning, tracking, and assessment.

Deleted: workshops plan

Deleted: approval
Both supervisors and employees have opportunities and responsibilities in each phase of the EEP.

**Supervisor Accountability in the EEP**

It is the supervisor's responsibility to follow the EEP process, including timely and thoughtful completion of performance appraisals. Annual reviews on supervisors' performance will take this responsibility into account.

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**Chapter 2: The EEP Process (3 Phase Process)**

- Phase I: Performance and Development Planning
- Phase II: Performance Tracking and Interim Feedback
- Phase III: Performance and Development Assessment

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**PHASE I - PERFORMANCE PLANNING**

At the beginning of the performance period, the supervisor arranges a meeting with each employee to discuss and reach a mutual understanding of job purpose, the major areas of responsibility and objectives, priorities, and a development plan. Performance standards may also be established. The planning phase is important for both current and new employees.

**Defining Job Duties, Responsibilities and Objectives**
Employees are more likely to commit to achieving objectives when they understand why the objectives are important to their own success and the success of the unit; when they view the objectives as fair and achievable; and when they feel the supervisor is receptive and responsive to their concerns and suggestions. The supervisor has the option of having the employee create the first draft of these responsibilities.

During the planning process, an up-to-date Position Description Questionnaire (PDQ) and the Employee Excellence Program Performance Evaluation Worksheet can provide a basis for identifying areas of responsibility. Supervisors and managers are encouraged to use as many of these forms as necessary throughout the appraisal period in order to track and document performance. The performance evaluation worksheets will remain at the department level for future use between the supervisor and employee. These worksheets will not be forwarded to the Office of Human Resources at the end of the appraisal period. This step will help employees focus their efforts and understand which responsibilities will be weighted more heavily in the performance appraisal phase. For some positions, the PDQ may not be useful in defining all major responsibilities due to special projects or other major assignments. In these cases, specific annual objectives may be set and adjusted during the Performance cycle (Phase III). Objectives should be:

- Primarily under the employee's control (sufficient authority)
- Realistic yet challenging
- Observable
- Measurable

In the unusual situation where agreement cannot be reached, the supervisor should explore with the employee the areas of disagreement in detail. Although what the employee knows about his/her job is important, it is the supervisor's responsibility to make final decisions about job responsibilities and priorities. Again, use the PDQ for establishing goals and objectives to assist in reaching an agreement.

**Defining Priorities**

Once the major areas of responsibility have been identified, priorities need to be considered, i.e., which job elements are more important than others. An objective may be prioritized according to:

- The need to accomplish it more quickly than others
- Greater difficulty
- Greater benefit to the department
- Relationship to other objectives or duties

**Defining Standards of Performance**

Defining standards for various levels of performance is an optional step, but this step can help to ensure that employees understand what action is necessary to achieve ratings for each area of responsibility and general performance factor. To write performance standards, the levels of job success must be defined. Specifically, standards should define:
• The results or behaviors needed to achieve a “Meets Standards of Performance” rating
• The different results or behaviors needed to achieve a rating of “Exceeds Standards of Performance”

Performance standards should be achievable and also should motivate employees to work toward the next higher level of performance. The following are examples of job factors that may be used to differentiate various levels of performance:

• Quality
• Quantity
• Timing
• Comprehensiveness of results
• Independence
• Attainment of concurrent objectives
• Manner of performing work

Departments are encouraged to develop performance standards to prevent disagreements or disputes over performance ratings. In the absence of specific standards, overall judgments of the employee’s performance level must be made. It is important to ensure that this does not result in artificially inflated ratings as a means of achieving agreement with the employee.

**Development Planning**

Using the Training and Development Summary Form, the employee and supervisor should:

• Review the progress made against the prior cycle’s training and development plans
• Identify performance improvement and associated development needs
• Identify relevant short and long-term career goals
• Agree upon development initiatives that enable accomplishment of short and long-term career goals

**PHASE II - PERFORMANCE TRACKING & FEEDBACK**

During Phase II, the supervisor should meet with the employee informally to discuss performance. These discussions provide the opportunity to review performance issues and, if necessary, to make adjustments. This step of the performance cycle is crucial to prevent surprises at the performance appraisal phase, especially when performance improvement is needed. Phase II should be an ongoing conversation between the supervisor and employee.

**Phase II Performance Feedback/Changes in Responsibilities or Priorities**

Responsibilities and priorities may be changed or adjusted during the performance period. When this occurs, the employee and supervisor should discuss the changes and make the appropriate modifications to the Employee Excellence Program Performance Evaluation Worksheet(s). Modifications to the EEP Performance Evaluation Worksheet can be accomplished electronically
or in hard copy form between supervisors and subordinates. These forms remain with the supervisor in their respective department file for future use.

**PHASE III - PERFORMANCE APPRAISAL**

Performance appraisal is a systematic approach in which an oral and written review of an employee's past performance is made, and plans are established to develop, improve, and support future performance in the job. Performance appraisal is not a replacement for the disciplinary process, which requires different types of documentation and counseling.

**About Performance Appraisals**

Supervisors give employees feedback about their performance on a day-to-day basis during Phase II. Although this communication is valuable, it is usually focused on a specific task. From this, an employee could reach a general conclusion about his/her overall performance that is quite different from the supervisor's. A supervisor cannot assume that an employee truly knows how well he/she is doing on the job. To ensure that the employee receives the right information, the performance appraisal must be completed and an appraisal interview conducted using the Employee Excellence Program (EEP) Performance Evaluation Form.

The appraisal interview is an opportunity for supervisor and employee to:

- Discuss various job components and the employee's related performance
- Review the employee's past performance
- Consider the entire job and overall performance
- Emphasize job duties in light of both positive and negative outcomes
- Communicate clearly about overall job expectations
- Review, update, and establish development plans
- Enhance the working relationship so that maximum performance can be achieved

In addition, the appraisal interview is a chance for an employee to give feedback to the supervisor about the guidance and support he/she has received and suggest changes that could improve the working environment or help the unit achieve its goals. The employee may choose to use the Employee Excellence Program Optional Employee Comments Form - Phase III.

**Appraisal Confidentiality**

The sensitivity of the performance appraisal cannot be overemphasized. It is crucial that the performance appraisal interview and paperwork be handled with great care to ensure that the employee's confidentiality is respected. This applies to typing, copying, and departmental storage of these and related documents. The original appraisal form becomes part of the employee's personnel record kept in the Office of Human Resources. These materials may be reviewed in accordance with state laws.

**Appraisal Schedule**

Performance appraisals for regular employees are completed before the end of the probationary period and on an annual basis, unless more frequent appraisals are deemed necessary by the department. Typically, annual performance appraisals are scheduled in the spring semester of
each year. Departments may, with the approval of the Office of Human Resources, permanently arrange to change this date if alternate timing provides a more effective performance cycle.

**Who Conducts Appraisals**
The performance appraisal is conducted by an employee's immediate supervisor, who usually has primary responsibility for the employee's hiring, training, development, assignment of work, and dismissal/discharge. If such a supervisory relationship does not exist, the department administrator should assign the responsibility for conducting the performance appraisal to the administrator who is most knowledgeable about the employee's job duties and performance.

**Special Evaluation: "Change in Position/Evaluator"**
Situations where an employee transfers to a new department, it is important that the employee receives an evaluation for that period of performance/timeframe. Therefore, the former department is responsible for completing any evaluations for the period of performance in the former department. In preparation of the evaluation, the former department would select the "Change in Position/Evaluator" as the evaluation type, and complete the "Period Covered" section on the EEP Performance Evaluation Form. The new department, if the employee is not on probationary performance, would be responsible for completing an evaluation for the incumbent in the new position. This annual performance evaluation may be shorter than twelve months if the number of months the incumbent is in the new position, for a partial year evaluation.

In some cases, employees report to a group of faculty and/or staff. In these cases, all individuals who should provide information for the appraisal should sign their initials on the appraisal form to indicate that their input was given. In cases where a lead worker (i.e., someone who coordinates and monitors work but does not have the authority to hire, evaluate, or dismiss/discharge) has been designated, the supervisor may use the lead worker's input regarding the employee's work performance.

**Probationary Employees/Evaluations**
Newly hired Civil Service employees, or those who have recently been upgraded or reclassified, and are serving a probationary period will not receive an annual evaluation. These employees will be evaluated using the probationary procedures/evaluation schedule. Similarly, Administrative Professional/Professional Staff employees serving a probationary period, will be exempt from the annual review process, these employees will also be evaluated using the probationary procedures/evaluation schedule.

**Phase II Preparing for the Performance Appraisal Interview**
 Adequate preparation is necessary for an effective performance appraisal interview. This discussion is a summation of a year's work for the employee and a year's coaching and managing for the supervisor. This will set the stage for the next performance period's working relationship and job performance. Therefore, care and attention must be exercised so that potential benefits for both parties will be realized. When preparing for the appraisal interview, supervisors should:

- Review past performance information as documented on the EEP Performance Evaluation Worksheet(s), including all notes and other documentation, so the entire year's
performance is considered, not just the last few months. This can prevent the "halo and horn" effect—a tendency to over- or under-rate an employee based on one or two incidents.
- Consider if there are other individuals whose input is needed.
- Define and analyze performance shortcomings and successes.
- Answer the questions, what is the purpose of this discussion? What should be the end result?
- Formulate tentative development plans and primary job duties for the next performance period.
- Consider which communication style would be most effective. Individuals respond differently.
- Arrange a meeting time with the employee. Prior to this meeting give the employee the Employee Excellence Program: Optional Employee Comments Form—Phase III.
- Be sure that the employee understands the purpose of the appraisal interview and provide clarification, if necessary.
- Arrange for privacy and no interruptions. If the supervisor's office is unsuitable, another location must be found.
- Allow adequate time for the interview so the desired results can be achieved.
- Obtain and prepare whatever form or documentation that will be used to facilitate the discussion.
- Plan the conclusion of the discussion by answering the questions:
  o How should this discussion end?
  o What should be the next steps?

Remember, a well-prepared appraisal interview conveys that the employee is valued as a person and as an employee.

**Climate During the Appraisal Interview**

When an employee arrives for the appraisal interview, the supervisor should find ways to help him/her feel at ease. Informality and a friendly atmosphere can help. The supervisor should restate the purpose of the interview and outline what is to be accomplished. The discussion is a two-way conversation, a mutual review and planning exchange. Sincerity is important.

**Conducting the Appraisal Interview**

The appraisal interview accomplishes a number of objectives related to past performance, including:

- Discussing how the employee performed his/her responsibilities
- Identifying contributions and strengths
- Identifying performance areas that need improvement

In addition, the interview focuses on future employee development, responsibilities, and performance. These objectives include:

- Motivating the employee to grow and increase performance
• Agreeing on development plans for areas that need improvement
• Establishing future expectations, including the major areas of responsibility for the next performance period

Given the scope of these objectives, the discussion can be split into appraisal interview and a later development/planning session.

There are a number of ways that the supervisor can conduct the actual discussion. Some options are:

• Discussing job areas in order of their priority
• Asking the employee to identify areas in which he/she has done well and what helped the employee do well, and then discussing the supervisor's perception of the areas of strength and accomplishment. The process is repeated for areas that need improvement. Any differences of opinion should be discussed.
• Selecting an area of performance where the employee has been rated very favorably and discussing the evaluation, stating the specific reasons for it, and then asking the employee to explain his/her rating of the same area of performance, and concluding by agreeing on what each will do to fully utilize that strength. The process is repeated for areas that need improvement, concluding with agreement on actions to be taken to enhance performance in that area.

The performance appraisal is also an excellent opportunity for the supervisor to receive feedback about the guidance and support he/she provides to the employee, what the employee thinks has been helpful and effective, and what could be more helpful or what could be better if done differently. The EEP Performance Evaluation Optional Employee Comments Form-Phase III form can be used by the employee to help facilitate the discussion. An employee may feel vulnerable in providing this feedback, so the supervisor should make every effort to help the employee feel at ease and to listen with an open mind. This information can help the supervisor enhance his/her own performance as well as the working relationship with the employee. It is best if employee feedback is discussed after the performance appraisal is complete.

The appraisal interview should conclude on a positive note as much as possible, with a discussion summary and a restatement of agreements made. Ideally, an employee should leave the interview with a good feeling about the opportunity to discuss job performance, about the supervisor's involvement, and a clear understanding of present performance levels and future expectations.

Chapter 3: Performance Improvement Plans (PIP)

In cases where any one rating element is checked DOES NOT MEET STANDARDS OF PERFORMANCE, an improvement plan is required. If a performance deficiency is identified during Phase III of the annual evaluation, the performance deficiency would be addressed with a
performance improvement plan. In the event a performance deficiency is identified during the performance year, a special evaluation can be rendered at that time, and a performance improvement plan would need to be developed. In either situation, all PIPs are to be coordinated with the Office of Human Resources in order to address and resolve the identified performance deficiency. An improvement plan should clearly describe:

- What behavior, performance, situations, or conditions must be changed
- What is to be done by the employee
- What is to be done by the supervisor
- When the development will be completed

For any one specific performance area that DOES NOT MEET STANDARDS of PERFORMANCE, improvement plans MUST be documented in the comments section of the EEP Performance Evaluation Form. Improvement plans must be documented on the Performance Improvement Plan (PIP) Form. The PIP form is available from the Office of Human Resources. The supervisor should hold follow-up discussions with the employee over the next 60 days to review progress toward objectives and should conduct a follow-up performance appraisal and interview within 60 days of the regular appraisal date. If the employee does not achieve the objectives outlined in the performance improvement plan, the department should contact the Office of Human Resources to discuss the appropriate action. As a reminder, all performance improvement plans will be coordinated and approved through the Office of Human Resources. Also, performance improvement plans do not apply to probationary employees. They are not a replacement for the disciplinary process.

Appraisal Disputes
Regular two-way communication regarding performance should be maintained to prevent misunderstandings concerning performance appraisals and the appraisal process. If a dispute should arise, the employee may use the appropriate grievance procedure to address the issue.

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Chapter 4: Completing the EEP Performance Evaluation Form

The EEP Performance Evaluation Form is used for the following classification of employees: Exempt and Non-exempt Civil Service Employees, Administrative Staff, and Professional Staff.

To facilitate the EEP, a planning and appraisal form has been developed. The program uses the following appraisal rating scale:

- Exceeds Standards of Performance - performance consistently exceeds expected levels. A high level of proficiency is shown in most aspects of performance.
- Meets Standards of Performance - performance is consistently at expected levels. Meets job requirements, e.g., punctuality, dependability, efficiency.
Meets Standards with Recommended Improvements - some performance deficiencies exist. A performance improvement plan (PIP) may be needed to achieve the required improvements.

Does Not Meet Standards of Performance - performance is consistently below acceptable levels. Performance improvement plan (PIP) is to be established and immediate improvement is required.

Form Outline

Section I. Employment Data

This section is used to capture all relevant information that identifies the employee's name, classification, department, period covered (review period), University ID, position title and number (if applicable) evaluation type, such as Annual Review, Probationary Review or Change of Evaluation/Position.

Section II. General Performance Factors (For Non-Management and Supervisors)

This section is used to evaluate employee performance on behaviors that are important to a position. Attempts have been made to incorporate factors that will advance the commitment to excellence and skills that are crucial to URI's success. Additional performance factors can be written at the end of Section II to create a customized appraisal.

At the end of the performance period, this section is used to rate the employee's performance on each factor. Keep in mind that if a factor is not relevant to the job, or if the factor cannot be rated because of lack of information, the "Not Applicable" box should be marked.

This section can be used to comment on performance over the rating period and to set guidelines for future performance. The "Comments" section is to be used when any category is marked that contains an asterisk.

Section III. General Performance Factors (Complete for Managers and Supervisors Only)

This section is to be used to evaluate those employees with management or supervisory functions. Attempts have been made to incorporate factors that will advance the commitment to excellence and skills that are crucial to URI's success. Additional performance factors can be written at the end of Section III to create a customized appraisal.

Employee Comments and Signature

The employee has the option of discussing comments with the supervisor or including them with the appraisal form. Signing the form does not indicate an employee's agreement. It simply shows that the employee had a chance to review it. The employee is allowed to attach to the form information outlining his/her disagreement with the appraisal. This information is stored with the appraisal form in the personnel file contained in Office of Human Resources. Employees should
also be provided the opportunity to complete and submit the Phase III Optional Employee Comments Form to be signed by the employee, the supervisor and the supervisor’s manager.

Supervisor’s Signature and Department Administrator’s Signature/Second-level Review

Departments are encouraged to have the second-level supervisor (the supervisor’s supervisor) review the draft appraisal prior to the appraisal interview. Departments may also choose to have a second-level review during the planning phase. This “pre-review” provides an opportunity to consider the consistency of ratings among different supervisors, and to obtain additional input on performance results.

The department administrator is required to sign all appraisal forms for his/her unit. Generally, the appraisal form is not altered after the appraisal interview is complete. In the unusual case where this is necessary, however, a second interview must be conducted with the employee.

Employee Excellence Program Forms

Employee Excellence Program Appraisal forms can be found on the Office of Human Resources website.

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Chapter 5: Legal Context for the Performance Appraisal

Several statutes are relevant to the performance appraisal, including the Equal Pay Act of 1963, Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967, and the Rehabilitation Act of 1973. A review of court decisions under these statutes indicates that personnel decisions made by employers on the basis of employee performance appraisals may be overturned if:

- The performance evaluation method has not been shown to be job-related or valid
- The content of the performance evaluation has not been developed from thorough job analysis
- Evaluators have not been able to consistently observe the employees performing their work
- Evaluations have been based on subjective or vague factors
- Racial, sexual, age, etc., biases of evaluators may have influenced the evaluations
- Evaluations have not been collected and scored under standardized conditions

The courts have found that where an employer has established performance appraisal policies, the employer has a duty to conduct performance reviews as well as to use reasonable care in performing these reviews. The courts have supported the performance appraisal in cases where:

- The employer provided written instructions and training for evaluators
- The system was results- or behavior-oriented
• The system was based on job analysis
• The employee knew in advance what was expected

These factors were taken into consideration during the development of the Employee Excellence Program. For questions regarding the EEP, contact the Office of Human Resources at 618-650-2198.
Employee Excellence Program Performance Evaluation Worksheet
Phase I and Phase II Performance Counseling

The Employee Excellence Program (EEP) is an ongoing process designed to clarify employee job roles and expectations, to enhance supervisor/employee communication, to foster employee job effectiveness, to encourage employee development, and to provide a basis for human resource decisions. The purpose of this form is to provide a framework for the EEP process and to create a record of EEP discussions. These forms will remain at the department level documenting performance feedback discussions throughout the performance cycle. A thorough presentation of the program is provided in the EEP Supervisor’s Guide, which is available on the Office of Human Resources web page. Please review the guide and this form in their entirety before you begin the EEP process.

EEP CYCLE - The EEP cycle covers a period of one year and consists of three distinct phases emphasizing that performance planning, feedback and evaluation are ongoing processes which occur throughout the year.

Phase I - Performance Planning - At the beginning of the performance period, the supervisor and employee come to a mutual understanding of responsibilities, priorities, and development plans, and utilizes the Position Description Questionnaire (PDQ) to begin the performance cycle.

Phase II - Performance Tracking and Interim Feedback - During the performance period, the supervisor formally gives the employee feedback on performance to ensure that there are no surprises at the end of performance period.

Phase III - Performance appraisal and Next Year Planning - At end of performance period, the supervisor completes a draft of the EEP form and meets with the employee to discuss it, making any appropriate changes. At the same meeting or one soon thereafter, the supervisor and employee complete performance and development planning for the next performance period including the Phase III Optional Comments Form and Training and Development Summary.

INSTRUCTIONS
At the beginning of the performance cycle, meet with the employee using the Position Description Questionnaire (PDQ). Discuss, list, and prioritize the employee's four to six key objectives. As these objectives are accomplished (Phase II), use the Comments section on this form to elaborate on those accomplishments. Comments are required for all objectives used during Phase III. Use as many worksheets throughout the appraisal year as necessary.

<table>
<thead>
<tr>
<th>OBJECTIVE</th>
<th>PRIORITY</th>
<th>COMMENTS</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td></td>
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<tr>
<td>2.</td>
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<tr>
<td>3.</td>
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<tr>
<td>4.</td>
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<td>5.</td>
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<tr>
<td>6.</td>
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</table>

Employee Signature: ___________________________ Date: ____________
Printed Name: ___________________________
Supervisor Signature: ___________________________ Date: ____________
Printed Name: ___________________________
**Employee Excellence Program (EEP)**  
**Performance Evaluation Form**  
Southern Illinois University Edwardsville

### SECTION I – Employment Data

Employee Name:  
Classification:  
Banner ID #:  
Position Title / Number:  
Department:  
Period Covered From:  
To:

### INTRODUCTION

The Employee Excellence Program (EEP) is an ongoing process designed to clarify employee job roles and expectations, to enhance supervisors/employee communication, to foster employee job effectiveness, to encourage employee development, and to provide a basis for human resource decisions. The purpose of this form is to provide a framework for the EEP process and to create a record of EEP discussions. A thorough presentation of the program is provided in the EEP Supervisor’s Guide, which is available on the Office of Human Resources webpage. Please review the guide and this form in their entirety before you begin the EEP process. After completing the form, including all signatures indicated, make copy for employee, and return original to Office of Human Resources, Box 1040. See the EEP Supervisor’s Guide for a description of required follow-up activity in cases of *Does Not Meet Standards of Performance that warrants development of a Performance Improvement Plan (PIP). Note: PIP’s do not apply to probationary employees. Supervisors are responsible for implementing the EEP process, including the timely completion of performance reviews.

### SECTION II – General Performance Factors (Complete for All Employees including Managers and Supervisors)

<table>
<thead>
<tr>
<th>Rating Elements</th>
<th>Check One Rating</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Job Knowledge</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A. Possesses knowledge &amp; skills necessary to perform job</td>
<td>[ ]</td>
<td>[ ]</td>
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<tr>
<td>B. Keeps current with changes in the job</td>
<td>[ ]</td>
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<tr>
<td>C. Understands job requirements and department functions</td>
<td>[ ]</td>
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</table>

<table>
<thead>
<tr>
<th>Quality of Work</th>
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</thead>
<tbody>
<tr>
<td>A. Is accurate and thorough</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>B. Makes consistent effort to listen, understand, and satisfy client/user needs</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>C. Follows policies, procedures, regulations, and protocol</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>D. Uses equipment properly; avoids creating safety hazards</td>
<td>[ ]</td>
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</table>

<table>
<thead>
<tr>
<th>Productivity</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>A. Completes appropriate amount of work</td>
<td>[ ]</td>
<td>[ ]</td>
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<tr>
<td>B. Manages time effectively</td>
<td>[ ]</td>
<td>[ ]</td>
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<tr>
<td>C. Balances multiple job responsibilities</td>
<td>[ ]</td>
<td>[ ]</td>
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<tr>
<td>D. Organizes work effectively</td>
<td>[ ]</td>
<td>[ ]</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Communication, Interpersonal Relationships, Teamwork</th>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>A. Shows tact, sensitivity, and diplomacy in dealing with others</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>B. Keeps appropriate people informed in a timely manner</td>
<td>[ ]</td>
<td>[ ]</td>
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<tr>
<td>C. Listens to other’s view and encourages others to express their views</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>D. Sustains positive work relationships with others and resolves conflict with others directly, constructively</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>E. Responds positively to constructive suggestions</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>F. Contributes effectively to team assignments</td>
<td>[ ]</td>
<td>[ ]</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Dependability – Attendance</th>
<th></th>
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</thead>
<tbody>
<tr>
<td>A. Completes work on time</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>B. Works independently; requires minimal supervision</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>C. Reports to work on time and utilizes breaks appropriately</td>
<td>[ ]</td>
<td>[ ]</td>
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<tr>
<td>D. Has infrequent unscheduled absences</td>
<td>[ ]</td>
<td>[ ]</td>
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<table>
<thead>
<tr>
<th>Initiative – Problem Solving</th>
<th></th>
<th></th>
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<tbody>
<tr>
<td>A. Recognizes need for action and reacts appropriately/self-starter</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>B. Takes on additional responsibility when and where needed</td>
<td>[ ]</td>
<td>[ ]</td>
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<tr>
<td>C. Adapts well to change (e.g., schedules, procedures, priorities)</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>D. Makes consistent efforts to listen to, understand, and satisfy client/user</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>E. Identifies potential problems, analyzes, formulates solutions</td>
<td>[ ]</td>
<td>[ ]</td>
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</tbody>
</table>

<table>
<thead>
<tr>
<th>Equity, Diversity &amp; Inclusion</th>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>A. Demonstrates knowledge and awareness of the issues of racism</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>B. Attempts to understand the perspectives of others and demonstrates mutual respect</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
<tr>
<td>C. Willing to embrace people from all backgrounds and avoids alienating others</td>
<td>[ ]</td>
<td>[ ]</td>
</tr>
</tbody>
</table>

*Comments are required for those ratings marked with an asterisk.*
### SECTION III – Complete for Managers and Supervisors Performance Evaluation Only

<table>
<thead>
<tr>
<th>Rating Elements</th>
<th>Not Applicable</th>
<th>*Does Not Meet Standards of Performance</th>
<th>*Meets Standards With Recommended Improvement(s)</th>
<th>*Meets Standards of Performance</th>
<th>*Exceeds Standards of Performance</th>
<th>Comments</th>
</tr>
</thead>
</table>

#### Planing – Resource Management

A. Sets goals and plans for future development
B. Manages monetary resources effectively
C. Introduces appropriate technology into work environment

#### Equity, Diversity & Inclusion

Sales opportunities to improve workplace diversity and meet affirmative-action objectives

A. Educates self about racism and multicultural issues
B. Advocates and promotes discussion about diversity within reporting unit

#### Human Resource Management

A. Plans and organizes workload and staffing, using staff time, skills and potential
B. Achieves constructive working relationships between staff and management
C. Manages change and achieves staff support of objectives
D. Shows fairness in dealing with staff

#### Employee Development

A. Evaluates performance regularly, accurately, and fairly
B. Coaches and reinforces performance to facilitate employee achievement
C. Assists and supports appropriate employee development opportunities
D. Prepares employees to assume increased responsibilities
E. Acts quickly and appropriately on performance problems

#### Participative Management

A. Shares decision-making responsibility appropriately
B. Provides employees with feedback and recognition
C. Holds regular employee meetings; keeps staff informed
D. Seeks and listens to employee input/feedback
E. Encourages teamwork and group achievement

#### Responsibilities not listed above

A. 
B. 
C. 
D. 
E. 

*Comments are required for those ratings marked with an asterisk.

---

The primary duties, performance areas, development plans, and evaluation have been discussed with me; my signature does not necessarily indicate agreement. Also, the content of this form, the supervisor’s role in planning the appraisal, his/her development progress, and suggestions for enhancing department operations can be included as employee’s comments (employee is to use Employee Excellence Program Optional Employee Comments Form Phase III if necessary).

Employee’s Signature: ___________________________ Date: __________

Employee’s Printed Name: ___________________________

Supervisor’s Signature: ___________________________ Date: __________

Supervisor’s Printed Name/Title: ___________________________

Department Administrator Signature: ___________________________ Date: __________

Department Administrator Printed Name: ___________________________

After completing the form, including all signatures indicated, make copy for employee, and return original to Office of Human Resources, Box 1040.
Employee Excellence Program Performance
Evaluation
Optional Employee Comments Form – Phase III

As an employee you have the option of completing this worksheet to formally share with your supervisor information which you consider important to your evaluation used during Phase III. The completed worksheet is to be given to your supervisor prior to the Phase III meeting.

Name: ___________________________ Date: ___________________________
Title: ___________________________ Department: ___________________________

1. List what you believe were the key elements of your job during the past year.

2. List special contributions you feel you have made to your department during the last appraisal period.

3. List any notable obstacles you encountered in accomplishing your job responsibilities during the appraisal period.

4. Are there any ways your supervisor can demonstrate deeper perspectives of others and/or better demonstrate mutual respect, equity and fairness?

5. Are you satisfied with your supervisor’s commitment and efforts with respect to equity, diversity and inclusion?

6. What areas do you need (want) to develop in the next year? What are the plans to achieve these goals? (See Training and Development Summary)

7. Is there something your supervisor can do to help you perform better in your job?

8. Add any additional information you wish to have considered in your appraisal.

Employee Signature: ___________________________ Date: ___________________________
Supervisor Signature: ___________________________ Date: ___________________________
Department Administrator Signature: ___________________________ Date: ___________________________
## TRAINING AND DEVELOPMENT SUMMARY

1. **REVIEW OF LAST YEARS TRAINING & DEVELOPMENT PLANS**
   Discuss the progress made and results achieved against the training and development plans agreed in the last review.

2. **PERFORMANCE IMPROVEMENT AND TRAINING NEEDS**
   Highlight areas for performance improvement that the individual has in the current job. Specify what action is being taken to improve knowledge, ability or skills against these performance issues, including timescales.

3. **SHORT TERM CAREER GOALS**
   What short term career development plans does the individual have? Where possible agree upon possible next career steps.

4. **LONGER TERM CAREER GOALS**
   Agree where possible the type of position(s) which in approximately 5 years the job holder could reasonably aspire towards. Be specific where possible.

5. **DEVELOPMENT NEEDS**
   Agree and plan the development activities and actions that are required to help the individual to attain both their short and longer term career goals, include timescales for implementation and completion.