2011-2012

Luoma Action Learning Project:

# Administrative Evaluations

## **Our Team:**

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Chuck Paulson Minneapolis Community & Technical College

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# A big Thank You to:

#### Our Executive Sponsors - St. Cloud Technical & Community College

- Joyce Helens President
- Deb Holstad Director of Human Resources
- Dr. Peg Shroyer Vice President of Academic Affairs

### **Our Action Learning Team Advisors:**

- Kristina Keller Dean of Business and IT, St. Cloud Technical and Community College
- Anita Rios Director of Talent Management and Organizational Effectiveness, MnSCU System Office

## **Problem Statement**

"The goal of this project is to provide recommendations to update the current administrator evaluation process at St. Cloud Technical and Community College (SCTCC). SCTCC would like to enhance and formalize the current process to include all components of evaluation and develop the infrastructure necessary to connect all evaluation activities to professional development and succession planning."

## Rationale

### Consistency and alignment will help the college:

- Encourage and recognize the importance of continued professional development;
- Support quality improvement efforts;
- Create a systematic approach to evaluation that aligns with system and external research and recommendations, utilizes the leadership competencies as developed by MnSCU, and meets all state and MnSCU evaluation requirements;
- Align evaluation methods for consistency and equity;
- Effectively manage talent and promote inclusion;
- Create tools that can be utilized in decision making and promotion within and among campuses;
- Connect development to SCTCC mission and strategic priorities.

# **Project Goals**

- ▶ To develop a systematic, comprehensive, formative and summative evaluation process for administrative/managerial employees that allows for strategic decision-making in compensation, promotion and succession planning on campus.
- Project deliverables should include:
  - Research on current practices (within and outside of the MNSCU system with focus on community, technical or combined campuses);
  - Policy, procedure and process recommendations for implementation at SCTCC;
  - Sample documentation for utilization at various levels of administration (Academic Deans, VPs, Directors, Managers, etc). Sample documentation can include but is not limited to professional development plans, supervisor evaluation and assessment, peer evaluation, portfolio development, and succession planning efforts;
  - Recommendation of career development tools to assist in professional development and succession planning.

# Luoma Project Overview

- Studied SCTCC materials and needs
- Studied MnSCU system office materials
- Conducted CHRO survey and gathered evaluation information from MnSCU institutions
- Created matrix to compare and analyze institutional practices
- Collected examples from outside organizations, including non-MnSCU higher education, healthcare, and corporate
- Created "toolbox" of forms and processes for future reference (currently archived on SCTCC D2L)
- Synthesized data to identify best practices
- Recommended a systematic approach to evaluations to align with MnSCU leadership competencies and SCTCC's strategic framework
- Created template forms for use by SCTCC

**Project Schedule** 

	A	Γask Name ▼	Ouration 🕌	Start 💂	Finish 🕌 🛭	у		August			September		October		November	December
4		Prpject Kick-Off	1 day	Wed 7/20/11	Wed 7/20/11	7/17   7/24	7/31   8/	7   8/14   8	/21   8/2	28   9/4	9/11   9/18   9/25	10/2	10/9  10/16 1	0/23   10	0/30   11/6  11/13  11/20  11/2	27   12/4   12/11   12/18   12/25
2		Review SCTCC Mat'ls	15 days	Mon 7/25/11	Fri 8/12/11	<b>'</b> _		_								
3		1 - Conference Call	1 days	Fri 8/12/11	Fri 8/12/11	_		_								
4		Evaluation Process Backgd	57 days	Mon 8/15/11	Tue 11/1/11			<b>-</b>							•	
5	-	Nature of Academic Leader	57 days	Mon 8/15/11												
6		Research - Faculty Cohort &	21 days		Wed 11/30/11										}	
0	-	Evaluation Models	Ziuays	Wed 11/2/11	Wed 11/30/11											
7	<b>=</b>	2 - Conference Call	1 day	Tue 9/13/11	Tue 9/13/11						<b>հ</b>					
8		Performance Evaluation Survey - MnSCU Institutions & Private Industry	21 days	Wed 9/14/11	Wed 10/12/11						Ž.					
9	-	3 - Conference Call	1 day	Thu 10/13/11	Thu 10/13/11								Š.			
10		Review Performance Evaluation Surveys	19 days	Fri 10/14/11	Wed 11/9/11										<b></b>	
11	<b>=</b>	4 - Conference Call	1 day	Wed 11/9/11	Wed 11/9/11										<b>ն</b> ի	
12		Investigate Performance Evaluation Platforms	22 days	Thu 11/10/11	Fri 12/9/11					8 8 8 8 8 8 8 8 8 8 8 8 8 8 8 8 8 8 8					<b>*</b>	
13	<b>III</b>	5 - Conference Call	1 day	Wed 12/14/11	Wed 12/14/11											<b>0</b> 1
14		SCTCC- Performance Eval Draft Presentation	5 days	Thu 12/15/11	Wed 12/21/11											
15		Sponsor Meeting - 1	1 day	Wed 12/21/11	Wed 12/21/11											0
16	<b>==</b>	6 - Conference Call	1 day	Wed 1/11/12	Wed 1/11/12											
17	<b>==</b>	7 - Conference Call	1 day	Wed 2/8/12	Wed 2/8/12											
18	<b>=</b>	8 - Conference Call	1 day	Wed 3/14/12	Wed 3/14/12											
19	=	9 - Conference Call	1 day	Wed 4/11/12	Wed 4/11/12											
20	=	Admin Eval Final Form	8 days	Mon 4/30/12	Wed 5/9/12											
_	<b>III</b>	10 - Conference Call	1 day	Wed 5/9/12												
22	<b>III</b>	11 - Conference Call	1 day	Wed 6/13/12												
23		12 - Conference Call	1 day	Wed 6/27/12												
24		Sponsor Meeting - 2	1 day	Fri 1/27/12	Fri 1/27/12											
25		Sponsor Meeting - 3	1 day	Fri 4/27/12	Fri 4/27/12											

## **SCTCC**

#### Vision Statement

"St. Cloud Technical and Community College is the college of choice for quality career, technical and transferable education, focused on highly-skilled employment and lifelong learning opportunities."

#### Mission Statement

"St. Cloud Technical and Community College prepares students for life-long learning by providing career, technical and transferable education."



#### **Priorities & Key Measures**

SCTCC's Priorities are presented as pillars that support our overall mission and are built on the foundation of our core values. Key Measures help define performance excellence by focusing on accountability, data driven decision making, and assessment.

#### Pillar 1 – Student Success

#### **Key Measures:**

**Completion Rates** 

**Placement Rates** 

Persistence/Retention

**College Transitions/Transfer** 

**Readiness for College** 

**Student Learning** 

## **Pillar 2 - Community Building** *Key Measures:*

**Funding/Investments** 

Partners/Collaborations

Reputation/Image

## Pillar 3 - Developing a Skilled Workforce

#### **Key Measures:**

Satisfaction of Graduates

**Advisory Board Membership** 

**Advisory Board Engagement** 

**Identify & Meet Market Demands for** 

**Program Alignment** 

**Gainful Employment** 

#### Pillar 4 - Sustainability

#### **Key Measures:**

**CFI Measures** 

**Efficiency & Effectiveness** 

**Enrollment** 

#### Pillar 5 - Employee Engagement

#### **Key Measures:**

Service

Retention/Transfer

**Diversity** 

**Professional Development** 

**Reward and Recognition** 

## SCTCC AQIP Feedback Report

#### **AQIP CATEGORY 4: VALUING PEOPLE**

- Valuing People explores your institution's commitment to the development of your employees since the efforts of all of your faculty, staff, and administrators are required for institutional success.
- ▶ 4P10a S: Staff evaluations include an evaluation form, job description and professional development plan that list college goals and individual professional development needed by each employee to meet the goals.
- 4P10b O: SCTCC states that they are currently working on updating the current faculty evaluation and professional development system that will more closely resemble the staff system. This improvement will align the objectives for both instructional and noninstructional programs and services.
- ▶ 4P12 S: SCTCC determines key issues related to the motivation of faculty, staff and administrators through the employee development survey used system wide through the MnSCU system. In addition, service feedback surveys provide ideas for future training and development and executive leaderships meeting and discussions are other ways key issues are determined.
- ▶ 4I1 O: Recent improvements include a satisfaction survey, meeting with managers for performance evaluation and development plans. It is unclear how systematic and comprehensive the processes are.

## MN Council for Quality Baldrige Express Feedback Report

## **Category 5 - Workforce Focus**

**Overall Question Scores and Current-State Descriptors** 

%	Question	Description
%	5B	Workforce Enrichment: Performance Management System to Support High Performance Work and Workforce Engagement [Baldrige ref: 5.1a(3)]
17	Current	Beginning – The organization is beginning to get a few workers to do their best to achieve personal success. Processes of involving (engaging) workers are of little value, since they are not consistently or widely used.
	Next Level	Basically Effective – The organization gets some workers to do their best to achieve personal success. The organization has started to evaluate the effectiveness of some of these processes.
	Role Model	The organization ties pay, rewards, incentives, and recognition to nearly all student, stakeholder, and organizational goals and action plans for nearly all people in the workforce (including leaders). The organization regularly checks how well its pay, rewards, incentives, and recognition processes contribute to high performance in the workforce and organizational success. The organization makes ongoing improvements as a result. Some creative (innovative) improvements to these processes have been made to make sure they are fair, accurate, and effective. The best practices are shared across the organization.

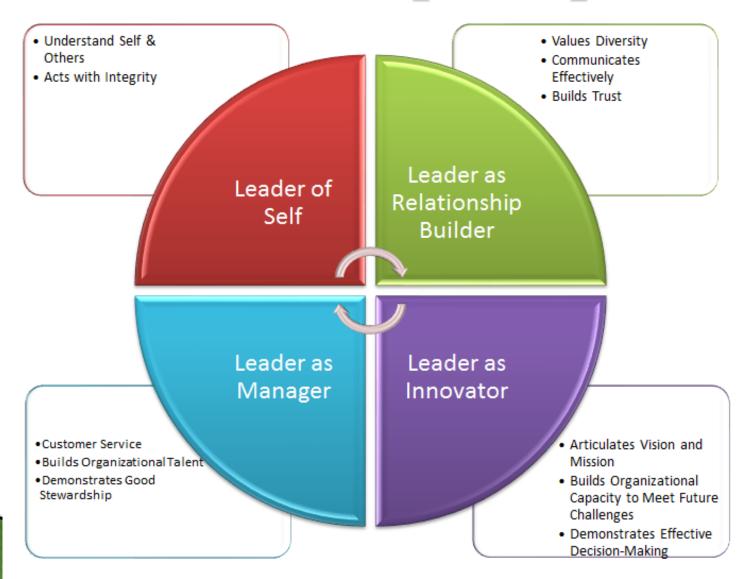
## **MnSCU Policy 4.9 Employee Evaluation**

Part 1. Responsibility. Each Minnesota State Colleges and Universities institution and the system office shall have in place a procedure for evaluating employees, including faculty and administrators, on an annual basis.

Supervisors have the responsibility and authority for evaluation of employees under their supervision unless the college or university procedure provides for another process. This is consistent with requirements in Minnesota Statutes, Chapter 43A.20.

Part 2. Process. Evaluations are to be completed in a manner consistent with any requirements found in Minnesota Statutes and the applicable collective bargaining agreements or personnel plan. A procedure may provide for evaluations of a limited scope in certain years if that is consistent with the language of a collective bargaining agreement.

## **MnSCU Leadership Competencies**



## **MnSCU Art of Supervision Findings**

## 4 Art of Supervisions a year of 25-30 people

Feedback from 250+ leaders from within MnSCU

## **Brainstorming activity:**

- ▶ What makes it most valuable to you? (those being evaluated)
  - Chance to talk 1 on 1 with supervisor
  - Chance to share with my supervisor what I actually do
  - Chance to make sure that I am on track and using time wisely
  - Chance to ask questions

## **MnSCU Art of Supervision Findings**

- Evaluation process does not go well when:
  - It is a surprise;
  - There is no interpretation/comments from supervisor;
  - It does not connect to actual work;
  - It focuses on areas that are outside of the person's control;
  - It is not taken seriously just a "checklist" to complete.

## **MnSCU Art of Supervision Findings**

- Evaluation process goes well when:
  - It is an ongoing process, not just once a year;
  - There is a plan for evaluations;
  - Real examples/information are included;
  - It is connected to a dialogue with the evaluator;
  - It has a focus on the future directly ties to positive changes.

# MnSCU Performance Management Subcommittee Summary

Below are the results from a survey in which front-line supervisors ranked the obstacles in conducting employee performance evaluations (smallest to greatest).

## Online survey results (n=72)

- My workload limits my ability (mean 2.39)
- ▶ Lack of institutional tools (mean 2.71)
- ▶ It is difficult to hold people accountable (3.49)
- ▶ Lack of support from HR (mean 3.89)
- ► Institutional priorities (mean 4.00)
- Union environment (mean 4.52)

# MnSCU Performance Management Subcommittee Summary

#### **CHRO Interview Feedback:**

- ▶ 16 of the colleges interviewed use competencies in the performance evaluation process.
- The following competencies were listed by 3 or more colleges as being in use:

Diversity/Intercultural Accountability
Adaptability
Communications
Continuous Quality Improvement
Creativity
Customer Service
Decision Making / Problem Solving

Dependability
Integrity & Ethics
Teamwork
Technical Job Knowledge / Skills
Time Management / Planning
Work Habits

# MnSCU Performance Management Subcommittee Summary

Major obstacles encountered by supervisors fell into three main themes:

Obstacles	Possible Solutions
Time	50% felt automation would improve time commitment issue
Accountability	Culture shift and ongoing training
Administrative Support	Strong support from President

## Action Learning Team: Email Survey of MnSCU CHROs

Hello Everyone,

As part of a Luoma Action Learning project, we are gathering information about each MnSCU institution's methods of evaluating administrators (Deans, Directors, Middle Management, etc). We are collecting this data in order to put together a "best practices" document which will hopefully lead to a more comprehensive and development-focused evaluation process, as well as create more synchronicity and consistency among the schools. This project was posted by St. Cloud Technical and Community College, but the results will be shared MnSCU-wide.

As CHROs, could you please respond to this email answering the following questions? It should only take 5 minutes of your time:

- 1. What process for administrator evaluations is your institution doing now?
- 2. How often are evaluations done? (once a year, more often, at checkpoints throughout the year, etc.)
- 3. What forms or questionnaires are in use now, and could you attach blank samples?

Thank you very much for your time, Luoma Action Learning Team

Institution	Frequency	Method(s)	Development Facet Incl.	Contact
Anoka Ramsey Community College	Annually	Administrator meets with Supervisor and completes a Performance Review Form, NEOGOV.	No	Darren Hoff <u>Darren.Hoff@anokaram</u> <u>sey.edu</u>
Alexandria Technical College	Annually, or more often if on probation	Employee Growth Assessment used for all non-faculty.	Yes	Shari Maloney <a href="mailto:sharim@alextech.edu">sharim@alextech.edu</a>
Century Community College	Annually	Administrative/Supe rvisor Appraisal, 360 Performance Appraisal every 3 years, NEOGOV.	Yes - Individual Development Plan, Individual Development Goal Worksheet	Betty Mayer  Betty.mayer@century.e  du
Dakota County Technical College	Annually	Supervisor evaluates using Administrator Assessment Form	No	Susan Raddatz <u>Susan.Raddatz@dctc.ed</u> <u>u</u>
Hennepin Technical College	Annually	Presidential Eval, VP Eval, 360 every other year.	Yes - President and VP have monthly meetings.	Sharon Mohr <a href="mailto:SMohr@hennepintech.e">SMohr@hennepintech.e</a> <a href="mailto:du">du</a>
Inver Hills Community College	Annually (summer)	Same for all staff. Supervisor evaluates using Performance Eval Document.	Yes - small part of form	Elizabeth Newberry <a href="mailto:enewber@inverhills.mn">enewber@inverhills.mn</a> <a href="mailto:scu.edu">scu.edu</a> <a href="mailto:23">23</a>

Institution	Frequency	Method(s)	Development Facet Incl.	Contact
Lake Superior College	Annually	Not consistent. Online 360 (not annually) – return rate very low. Administrator Assessment Forms. Online performance eval system (NEOGOV) used for staff. Narrative eval by President.	Varies	Mary Nienaber m.nienaber@lsc.edu
Metropolitan State University	Annually, at the close of each fiscal year	Administrator Evaluation Report form	Yes	Stephanie Miller  Stephanie.Miller@metr  ostate.edu
Minneapolis Community and Technical College	Annually	President asks for 3- page self-evaluation, and President writes and evaluation also.		Keith Balaski <u>Keith.Balaski@minneap</u> <u>olis.edu</u>
Minnesota State Community and Technical College	Annually	Review by supervisor against position description, along with Third-Party Feedback Form (confidential survey, like 360).	No	Dacia Johnson <u>Dacia.Johnson@minnes</u> <u>ota.edu</u>

Institution	Frequency	Method(s)	Development Facet Incl.	Contact
Minnesota State University, Mankato	Annually	"Excluded Admin Assessment Form" - self-eval, eval by supervisor, eval of employee attributes.	Yes	Becky Barkmeier  becky.barkmeier@mns  u.edu
Minnesota West Community and Technical College	Annually is the goal	No standardized format. 360 used last year. Plan is to continue that.	No	Karen Miller  Karen.Miller@mnwest.  edu
Normandale Community College	Annually	All use something different. 360 tool was used last year. Deans use Perf Review Form	Yes	Michelle Thom  Michelle.Thom@norma  ndale.edu
North Hennepin Community College	Annually, with many separate check-in points	Newly revamped. Self and supervisor eval. 360 Leadership Competencies Inventory every 3 years or more.	Yes - beginning, mid-year, end, with 360 every 3 years or less.	Sue Appelquist  SAppelquist@nhcc.edu
Pine Technical College	Annually	Performance Eval Form, 360, Staff Development Planning Form	Yes - Staff Development Planning Form	Penny Hudlow <u>HudlowP@pinetech.ed</u> <u>u</u>

Institution	Frequency	Method(s)	Development Facet Incl.	Contact
Ridgewater College	Annually	Employee Perf Evaluation Form (all employees) and self- eval form.	Yes	Jodi Knaus@ridgewater.edu
Riverland Community College	Annual cycle	Web-based package called TrakStar. Self- eval and supervisor eval. 360 has been done on VPs.	Yes	Celeste Ruble  Celest.Ruble@riverland.edu
Rochester Community and Technical College	Annually	360 survey through Zoomerang, Self-Eval and Work Plan for next year, Perf Assessment Conference with Pres.	Yes	Renee Engelmeyer  Renee.Engelmeyer@roch.ed  u
Southeast Technical College	Annually, with more touch points for newer admins.	Administrators provide highlights, challenges & goals to President or VP. Deans also do Strategic Goals form.	Yes	Deanna Voth dvoth@southeastmn.edu
				26

Institution	Frequency	Method(s)	Development Facet Incl.	Contact
Southwest Minnesota State University	Annually, end of fiscal year	No forms used. Admins submit in writing goals for the coming year and thoughts on prior year. President and supervisor conduct oral review and written eval.	Yes	Deb Almer  Deb.Almer@smsu.edu
St. Cloud Technical and Community College	Annually	Performance Appraisal completed by supervisor, then a meeting takes place to discuss it.	No	Deb Holstad <u>DHolstad@sctcc.edu</u>
St. Paul College	Annually, end of fiscal year	Performance Evaluation Form	Yes, Perf/Improvem ent Goals with Action Plan	Rachelle Schmidt  rachelle.schmidt@saint  paul.edu
Multiple Schools: Hibbing CTC, Itasca CC, Mesabi Range	Annually	Forms vary.  President/Admin Work  Plan as a basis, followed  by free-form evaluation	Yes	Carmen Bradach  c.bradach@mr.mnscu.e  du
CTC, Rainy River CC, Vermilion CC		typed by President. Provosts use district- wide Performance Evaluation Form.		Northeast Higher Education District

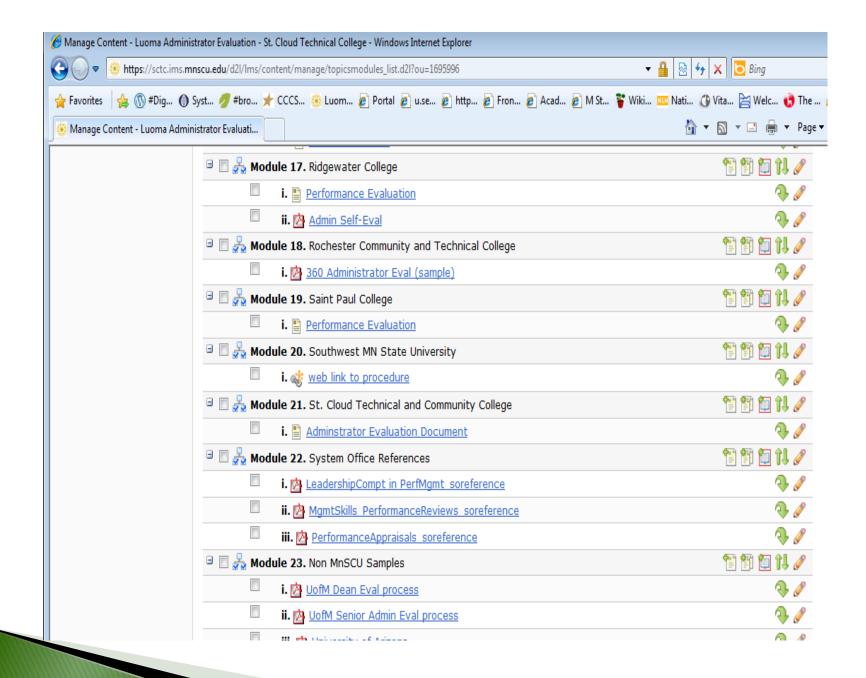
## **Survey Conclusions**

We found a wide range of approaches to administrator evaluation, both in policy and procedure.

After evaluating these results, compiling our research, and considering the stated goals of St. Cloud Technical and Community College, we felt that the newly revamped system used by North Hennepin Community College presented the "best practice".

## "Toolbox" of Evaluation Documents and Samples

- We created a D2L page through SCTCC's portal as a central repository for our survey results
- Later, we began to archive **all** project documents there, creating a comprehensive "toolbox"
- SCTCC Sponsors, Anita Rios, and Action Learning group members have access at this time, with option to share this information more broadly in the future



## Best Practices: Questions to Consider

#### What is the underlying purpose of an administrator evaluation?

- Align the administrator's efforts and behaviors with the goals and objectives of the college and system;
- Review performance against MnSCU Leadership Competencies;
- Fairly evaluate the administrator's performance;
- Allow an opportunity for professional development

### What is good about the existing process?

- Is it simple and realistic?
- Does it link to the institution's strategic plan?
- Is it interactive and meaningful for all parties?
- Does it look both to the past and the future?
- Does it incorporate positive items as well as items for development?

## **Best Practice Outcomes**

- Sample documentation for utilization at various levels of administration
- Forms to guide the process
- Incorporates Leadership Competencies
- Contains professional development plan component
- Facilitates multiple mid-year touch-points/conversations
- Performance objectives tied to MnSCU Strategic Framework
- Allows for goal setting, feedback, coaching and performance reviews

## **Recommended Evaluation Cycle**

We recommend that the annual evaluation cycle include at least three scheduled touch points per year. The timeline may be based on the fiscal year or date of hire.

July 1st	November 1 <sup>st</sup>	March 1st	July 1st
Complete	Performance and	Performance and	Performance
Performance	Development Goal	Development Goal	Appraisal
Objectives	Updates	Updates	
Complete Professional			Professional
Development			Development
Objectives			Planning
			360 Evaluation results
			(optional)
			Evaluation Annual
			Report

Date of Hire	4 months out	8 months out	1 year from hire
Complete Performance Objectives	Performance and Development Goal Updates	Performance and Development Goal Updates	Performance Appraisal
Complete Professional Development Objectives			Professional Development Planning
			360 Evaluation results (optional)
			Evaluation Annual Report

## **Recommended Evaluation Procedure**

- **Step 1:** Employee and supervisor complete the Performance Objectives and Professional Development Objectives sections of this form no later than July 1st (or initial hire date) each year and meet to discuss.
- > **Steps 2 and 3:** Two scheduled check-ins: Employee and supervisor meet, discuss and complete the Performance and Development Goal Updates.
- > Step 4: Employee and supervisor complete all sections of the Performance Appraisal and Professional Development Planning form (Leadership Competencies, Performance Objectives, Professional Development Objectives, and Summary of Results & Other Achievements). This may include 360° Leadership Competencies Inventory survey results conducted at least every three (3) years. Appropriate signatures sought and final documents forwarded to Human Resources.
- Once the fiscal year process is complete, the employee and supervisor will immediately begin the new fiscal year process with a new form (see Step 1).

#### LEADER AS RELATIONSHIP BUILDER

#### Values Diversity

- Demonstrates inclusivity in work processes and work teams.
- Encourages and promotes the diversification of our faculty, staff and student body.
- Actively seeks out and invites alternative viewpoints in planning, discussions, and decision making.

#### Communicates Effectively

- Effectively conveys ideas and shares with others using appropriate methods.
- Listens carefully and understands differing points of view.
- Presents ideas clearly and concisely.

#### Builds Trust

- Builds trust with others by demonstrating respect, valuing people, and creating transparency.
- Keeps commitments.
- Extends trust to others.
- Inspires confidence both in word and deed.
- Actively works to restore trust when necessary.
- Keeps confidences when appropriate.

Leadership Competencies	Unsatisfactory	Room for Improvement		
Leader as Relationship Builder				

Employee - Describe you greatest strength within the Leader as Relationship Builder quadrant relative to your current role and support with specific examples.

Employee - Describe you greatest area for development within the Leader as Relationship Builder quadrant relative to your current role and support with specific examples.

Supervisor - Describe the individual's strengths/opportunities within the Leader as Relationship Builder relative to their current role and support with specific examples.

#### Selected Development Goal #1

(2-4 goals per fiscal year)

Title:

Category:

(Choose one of the following: 1) Leader of Self, 2) Leader as Relationship Builder, 3) Leader as Manager or 4) Leader as Innovator)

Description: (Describe the individual goal)

Measurement: (Define how success will be measured)

Resources: (Note the resources required to complete the goal)

Time Frame: (Insert a planned start and finish date)

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	Performance Go	al Updates (Document statu	s updates/performance discussions throughout the year)
	Date	Status	Supporting Comments
		On schedule	
		Ahead schedule	
		Behind schedule	
		On hold	
		Completed	
		Cancelled	
		On schedule	
		Ahead schedule	
		Behind schedule	
		On hold	
		Completed	
		Cancelled	
		On schedule	

#### Selected Performance Objective #1

(2-4 objectives per fiscal year)

Title:

Category:

(Choose one of the following: 1) Ensure access to an extraordinary education for all Minnesotans, 2) Be the partner of choice to meet Minnesota's workforce and community needs, or 3) Deliver to students, employers, communities and taxpayers the highest value/most affordable option)

Description: (Describe the individual objective)

Measurement: (Define how success will be measured)

Resources: (Note the resources required to complete the objective)

Time Frame: (Insert a planned start and finish date)

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Performance Goal Updates (Document status updates/performance discussions throughout the year)		
Date	Status	Supporting Comments
	On schedule	
	Ahead schedule	7
	Behind schedule	7
	On hold	7
	Completed	7
	Cancelled	7
	On schedule	
	Ahead schedule	7
	Behind schedule	7
	On hold	7
	Completed	7
	Cancelled	7
	On schedule	

# Thank you again to:

- Our Executive Sponsors
- Our Team Advisors
- The Chair Academy
- The MnSCU System
- Anita Rios and Todd Thorsgaard
- MnSCU CHROs
- MnSCU Talent Management Subcommittee
- Our home institutions