



**No. MGMT-HR-06**

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| <b>Title:</b> | <b>EVALUATION – PROFESSIONALS –<br/>POLICY AND PROCEDURES</b> |
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|------------------------|---------------------------|
| <b>CLASSIFICATION:</b> | HUMAN RESOURCE MANAGEMENT |
| <b>FIRST ADOPTED:</b>  | December 1994             |
| <b>AMENDED:</b>        | February 2006             |

### **1. Purpose**

The performance evaluation process is intended to encourage open and ongoing communication between the professional and the supervisor to improve job understanding and promote more effective job performance.

This policy, adopted pursuant to clause 12.01 of Bylaw Number 4, applies to all professionals working at the College with the exception of those in the first year of a special project and professionals hired on short term replacement contracts.

### **2. Objectives**

Consistent with the objectives expressed in the College's Human Resources Management Policy, the performance evaluation is designed to:

- clarify the functions and responsibilities of the position and the supervisor's expectations of performance;
- assess the professional's progress towards achievement of these expectations;
- encourage and maintain open communication between the supervisor and the professional;
- identify professional development needs and provide support in meeting them;
- support continuous improvement in the quality of service offered by the professional.

### **3. Basis for Performance Evaluation**

The ongoing functions and responsibilities of professionals will serve as the basis of performance evaluations. Job descriptions, therefore, play a central role in the evaluation process and must accurately reflect the responsibilities of the position. Should annual objectives be assigned, they should be related to the professional's participation in the annual work plan of the department and should flow from the supervisor's own objectives.

#### 4. Factors to Be Considered in the Evaluation of Professionals

Assessment of the functions and responsibilities include the following:

##### 4.1 Professionalism:

|                                       |  |                      |
|---------------------------------------|--|----------------------|
| Trustworthiness                       | Reliability  | Integrity            |
| Expertise                             | Dedication   | Perseverance         |
| Courtesy                              | Discretion   | Cooperative attitude |
| Respect for others                    | Exemplary behaviour (i.e. to colleagues and other staff) |                      |
| Loyalty to College values and mission |  |                      |

##### 4.2 Leadership and Initiative:

Acts autonomously and assumes responsibility for dossiers within the specific mandate assigned by the supervisor;  
Approaches problems in a flexible and open-minded way;  
Cooperates with colleagues to achieve stated College and departmental goals;  
Adapts to rapidly changing circumstances;  
Motivates others to collaborate in the development and evolution of departmental and professional approaches, methods and philosophy;  
Influences others and motivates them to collaborate in the achievement of objectives.

##### 4.3 Planning and Organization:

Anticipates future needs;  
Sets priorities;  
Establishes valid and realistic objectives;  
Defines approaches and implements strategies for attaining those objectives.

##### 4.4 Decision-making and Control:

Exercises good judgment;  
Addresses problems objectively and effectively;  
Makes sound, logical decisions (even under stress);  
Takes appropriate action in order to attain objectives.

##### 4.5 Administration:

Develops and implements appropriate processes and procedures;  
Ensures execution of plans;  
Brings plans to successful conclusion;  
Understands College policies and procedures, and is consistent in their application.

#### **4.6 Communications and Human Relations:**

Prepares written reports and documentation which achieve their purpose;  
Presents ideas clearly and convincingly;  
Expresses him/herself effectively to individuals and in groups;  
Hears others; respects their input;  
Maintains effective working relationships;  
Clarifies support expected from supervisor;  
Advises supervisor when support is adequate or inadequate;  
Acts as part of a team;  
Supports the objectives of the supervisor.

#### **4.7 Professional Development:**

Identifies weaknesses in own professional skills;  
Seeks advice of others, as appropriate;  
Seeks support, as needed;  
Is open and willing to learn;  
Seeks actively to improve skills;  
Seeks new challenges and opportunities for development;  
Keeps abreast of developments in the profession.

### **5. The Evaluation Process**

The performance evaluation process consists of discussions between the professional and supervisor and the completion by the supervisor of a written evaluation.

At the beginning of the process, the supervisor and the professional will meet to:

- (a) review the professional's principal job responsibilities and modify the job description if necessary;
- (b) determine the review period (min. 12 months, max. 24 months)
- (c) establish performance expectations for the review period;
- (d) identify any plans for training or development; and,
- (e) discuss any future goals and/or objectives.

Throughout the evaluation process, the supervisor is encouraged to periodically assess the professional's progress towards meeting expectations and to communicate these assessments when appropriate.

At the end of the review period, the professional's supervisor shall prepare a written assessment of the professional's progress towards meeting previously established expectations. The supervisor and professional shall meet to discuss the assessment and allow the professional to provide feedback. The supervisor must assure that the professional has the opportunity to ask questions and to comment on the evaluation.

## 5.1 Components of Evaluation Process

The performance evaluation consists of the establishment of a protocol, the professional's self-assessment and the written assessment of performance by the supervisor.

### a) Establishment of Protocol

The supervisor and the professional will establish the assessment protocol. The purposes of the assessment protocol will be to identify individuals and groups who will be asked for information that could be used in assessing the professional's performance and to specify the dates for the completion of the assessment components. As agreed upon, information will be solicited by a questionnaire from colleagues, from users of the service and co-committee members.

#### Questionnaires to colleagues and co-committee members

Questionnaires may be sent to colleagues or to others who have worked with the professional on committees or task forces related to specific objectives or job responsibilities of the professional.

#### User questionnaires

Questionnaires may be sent to users to evaluate the accomplishment of specific objectives related to the professional's service. Where the number of users is large, the questionnaire may be administered to a sample.

The supervisor and the professional will agree upon the format of questionnaires to be sent to colleagues, or users, or co-committee members.

Only signed questionnaires may be considered in evaluating the professional.

### b) Professional's Self-assessment

The professional will provide a comprehensive written assessment of his/her own performance. This may include, among other factors:

- the way in which the duties of the job description have been carried out;
- the way in which the objectives have been met;
- quality of performance in carrying out the responsibilities of his/her position;
- special events or problems which had a bearing on performance or the attainment of objectives;
- special accomplishments;
- professional development activities over the year.

After the review with the supervisor, the professional may add to his/her personal assessment any responses to concerns or questions raised by the supervisor or any other written comments.

### **c) Assessment of Professional's Performance by Supervisor**

The supervisor will make his/her assessment of the overall performance of the professional, taking into account:

- the supervisor's assessment of the quality of the professional's performance in carrying out the responsibilities of his/her position;
- the supervisor's assessment of the accomplishment of objectives;
- information obtained from the questionnaires, where pertinent;
- the professional's personal assessment of his/her own performance;
- circumstances which may have affected the professional's performance or attainment of objectives, and any special accomplishments on the part of the professional.

In assessing the overall performance of the professional, the supervisor shall indicate that the professional's work has been either:

|                            |  |
|----------------------------|--|
| <i>Above expectations:</i> | Performance is consistently above expectations   |
| <i>Solid performance:</i>  | Performance consistently meets expectations and at times exceeds them  |
| <i>Improvement needed:</i> | Performance does not consistently meet expectations  |
| <i>Unsatisfactory:</i>     | Performance is consistently below expectations (deficiencies should be addressed and noted in the written performance appraisal) |

### **d) Completion of Performance Evaluation Process**

The supervisor will meet with the professional to review the results of the evaluation. They shall give particular attention to discrepancies between the supervisor's assessment and the professional's self-assessment. The professional shall receive a copy of the final evaluation and be allowed time to reflect on its contents as well as respond to any aspects prior to it being filed.

The written evaluation shall include:

1. Information on the professional's job duties and key areas of responsibility.
2. Comments and ratings on specific areas of responsibility and overall performance in relation to established expectations.
3. Any future objectives and plans discussed between the supervisor and professional.
4. Signatures of the supervisor and professional as confirmation that they have seen and discussed the evaluation.

Upon completion of the performance evaluation for a given review period, the supervisor and the professional will renew the process by discussing the critical path for the next review period.

## **5.2 Confidentiality of the Process**

The supervisor shall oversee the administering of the questionnaires regarding the professional.

Questionnaires shall be administered and collated in such a way as to guarantee confidentiality both of the respondents and the results of the questionnaire.

To achieve this, the supervisor shall prepare a synthesis of the results of the questionnaires, ensuring that the identity of respondents is kept confidential. The professional may under no circumstances see the questionnaires themselves. If requested, the supervisor will allow the professional sufficient time to review and, if necessary, comment on the synthesis of questionnaire results.

The supervisor must ensure the confidentiality of his/her assessment of the professional (including supporting documentation). Only the professional concerned, and the immediate supervisors of the professional up to the level of the Director General, will be apprised of the results of the evaluation. The Director General shall receive a summary for each professional. The Academic Dean shall receive a summary for each professional in his sector.

### **5.3 Appeal Process**

In the event that a professional finds his/her evaluation process to be unsatisfactory or unjust, he/she may appeal to his/her supervisor's supervisor.

## BASE PROTOCOL

Name of Professional: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_

Department or Service: \_\_\_\_\_

QUESTIONNAIRES (optional)

Questionnaires to be developed and distributed to the following individuals:

<Names>

### SELF-ASSESSMENT

Professional's self-assessment will be submitted to supervisor by \_\_\_\_\_  
Date

\_\_\_\_\_  
Signature of Professional

\_\_\_\_\_  
Signature of Supervisor

\_\_\_\_\_  
Date

# SUMMARY

Name of Professional: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_

Department or Service: \_\_\_\_\_

|   |  |   |  |  |
|---|--|---|--|--|
| <b>JOB DESCRIPTION</b>                            | Above expectations<br><input type="checkbox"/> | Solid Performance<br><input type="checkbox"/> | Improvement needed<br><input type="checkbox"/> | Unsatisfactory<br><input type="checkbox"/> |
| <b>ATTAINMENT OF OBJECTIVES<br/>(as required)</b> | Above expectations<br><input type="checkbox"/> | Solid Performance<br><input type="checkbox"/> | Improvement needed<br><input type="checkbox"/> | Unsatisfactory<br><input type="checkbox"/> |

|                |  |   |  |  |
|----------------|--|---|--|--|
| <b>OVERALL</b> | Above expectations<br><input type="checkbox"/> | Solid Performance<br><input type="checkbox"/> | Improvement needed<br><input type="checkbox"/> | Unsatisfactory<br><input type="checkbox"/> |
|----------------|--|---|--|--|

**COMMENTS OF SUPERVISOR:**

**COMMENTS OF PROFESSIONAL:**

- JOB DESCRIPTION:**
- appropriate
  - requires modification

\_\_\_\_\_  
Signature of Professional

\_\_\_\_\_  
Signature of Supervisor

\_\_\_\_\_  
Date



# SUPERVISOR'S EVALUATION FORM

Name of Professional: \_\_\_\_\_

Name of Supervisor: \_\_\_\_\_

Date: \_\_\_\_\_

## 1.0 FACTORS

The supervisor shall focus on the quality of the professional's performance in carrying out the responsibilities of his/her position. In the evaluation, the supervisor shall take into account special accomplishments of the professional, particular problems or circumstances which may have had an impact on the professional's performance, and the results of the questionnaires, where pertinent.

### Professionalism

(e.g. Trustworthiness; Reliability; Integrity; Expertise; Dedication; Perseverance; Loyalty to College values and mission; Courtesy; Discretion; Cooperative attitude; Respect for others; Exemplary behaviour (i.e. to colleagues, subordinates)).

Supervisor's Comments:

### Leadership and Initiative

(e.g. Acts autonomously and assumes responsibility for dossiers within specific mandate assigned by the supervisor; Approaches problems in a flexible and open-minded way; Cooperates with colleagues to achieve stated College and departmental goals; Adapts to rapidly-changing circumstances; Motivates others to collaborate in the development and evolution of departmental and professional approaches, methods and philosophy; Influences others and motivates them to collaborate in the achievement of objectives).

Supervisor's Comments:

### Planning and Organization

(e.g. Anticipates future needs; Sets priorities; Establishes valid and realistic objectives; Defines approaches and implements strategies for attaining those objectives).

Supervisor's Comments:

### Decision-Making and Control

(e.g. Exercises good judgement; Addresses problems objectively and effectively; Makes sound, logical decisions (even under stress); Takes appropriate action in order to attain objectives).

Supervisor's Comments:

## Administration

(e.g. Develops and implements appropriate processes and procedures; Ensures execution of plans; Brings plans to successful conclusion; Understands College policies and procedures, and is consistent in their application).

Supervisor's Comments:

## Communications and Human Relations

(e.g. Prepares written reports and documentation which achieve their purposes; Presents ideas clearly and convincingly; Expresses himself/herself effectively to individuals and in groups; Hears others, respects their input; Maintains effective working relationships; Clarifies support expected from supervisor; Advises supervisor when support is adequate or inadequate; Acts as part of a team; Supports the objectives of the supervisor).

Supervisor's Comments:

## Professional Development

(e.g. Identifies weaknesses in own professional skills and style; Seeks advice of others, as appropriate; Seeks support, as needed; Is open and willing to learn; Seeks actively to improve skills; Seeks new challenges and opportunities for development; Keeps abreast of developments in the profession).

Supervisor's Comments:

### 2.0 ATTAINMENT OF OBJECTIVES (If required)

In evaluating the attainment of objectives, the supervisor will take into account the professional's self-assessment concerning his/her objectives, the professional's accomplishments in fulfilling his/her objectives and the quality of his/her work, circumstances which may have affected the professional's performance, and the results of the questionnaires, where pertinent.

### 3.0 QUESTIONNAIRE SUMMARY (if applicable)

Summary of points contained in questionnaires (to be completed by supervisor; attach separate sheets, if required).

### 4.0 GENERAL COMMENTS AND RECOMMENDATIONS

Comments regarding overall performance:

Recommendations for action:

Supervisor's signature \_\_\_\_\_ Date \_\_\_\_\_