

**2008 Performance Planning and
Evaluation (PP&E) Form**
For Management Employees

ITT Educational Services, Inc. 

Section I – Employee Information

EMPLOYEE NAME <small>Redacted by HELP Committee</small>	EMPLOYEE NUMBER 107115	DATE OF HIRE 09/07/04
JOB TITLE Director of Finance	DATE PREPARED 07/24/08	REVIEW DATE 1/29/08
DIVISION / DEPARTMENT NUMBER Operations/200	JOB GRADE 11	DATE ENTERED PRESENT POSITION 06/25/08
IMMEDIATE SUPERVISOR <small>Redacted by HELP Committee</small>	NEXT LEVEL SUPERVISOR <small>Redacted by HELP Corr</small>	PRESENT REVIEW <input type="checkbox"/> MID-CYCLE <input checked="" type="checkbox"/> ANNUAL

Section II – Instructions

1. At the beginning of the Performance Year:
 - a. Review Section IV – Corporate Objectives with your supervisor.
 - b. Discuss and agree upon your Individual Objectives and document in Section V. Ensure that all of your objectives support a related Corporate Objective.
 - c. You and your supervisor review the list of competencies in Section XI – Individual Development Plan and check which competencies require development to meet current job expectations. You will agree upon and document Action Steps for each competency identified for required development.
2. Meet periodically during the Performance Year with your supervisor to review progress toward achieving your performance and developmental goals.
3. At the end of the Performance Year:
 - a. Meet with supervisor to review performance results and final overall rating in Section VI.
 - b. Review and discuss supervisor summary of overall performance in Section VII.
 - c. You and your supervisor sign form in Section VIII.
 - d. You are encouraged to write your comments in Section IX.
 - e. Supervisor obtains additional required signature(s) and returns original to Human Resources and provides a copy to you.

Section III – Definitions of Performance Ratings

- | | |
|---|---|
| 1 - Very Exceptional Results | Achievements exceeded goals and job requirements in virtually all areas. Employee produces tangible results which are clearly exceptional. Results positively impacted overall performance of the department or section. |
| 2 - Results Usually Above Standard | Job requirements were exceeded in most cases. Principal goals have been achieved in a highly effective manner. Employee produces tangible results substantially above the normal expectations of the job with a minimum of supervision and direction. |
| 3 - Results at Standard | Competent, normal, and expected level of results. Goals and job requirements are being accomplished effectively with normal supervision and direction. |
| 4 - Results Less Than Expected | Results are somewhat less than expected. Some goals and job requirements are met, but others are not, work is of mixed quality. Close supervision and direction are required. |
| 5 - Results Not Acceptable | Performance well below job requirements and not acceptable as to quality of work, completion of goals, or both. Requires frequent close supervision and direction. Results are inadequate and require immediate improvement. |

Section IV – Corporate Objectives

1. Total Enrollment Growth: 9%
2. Earnings Per Share (EPS): 20%
3. Free Cash Flow: 15%
4. Graduate Employment Rate: 85%

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Section V – Individual Objectives, Goals and Initiatives

Director of Finance

Objective	Related Corporate Objective	Weight	Goals (Rating Levels)				
			1	2	3	4	5
1. New Student Packaging	1.3	40%	≥60.00%	55.00% - 59.99%	50.00% - 54.99%	45.00% - 49.99%	<45.00%
Initiatives							Target Completion Dates
1a.	Improve financial aid interview to package % by working closer with Reps. Send email or direct contact with Reps asking assistance in obtaining missing documents, signatures, etc.						Weekly
1b.	Smartforms utilization with focus on customer service by contacting prospective students 24 hours prior to their scheduled appointment.						Daily
1c.							

Objective	Related Corporate Objective	Weight	Goals (Rating Levels)				
			1	2	3	4	5
2. A/R Per Student (average per quarter)	3	20%	<125.00	125.00 – 185.00	185.99 – 250.00	250.01 – 300.00	>300.00
Initiatives							Target Completion Dates
2a.	Achieve repackaging targets by refining AR and repacking tracking methods/Give FAA's weekly A/R and repack goals they must meet.						Weekly
2b.	Track self pay student on a bi-weekly; do not allow students who are on a quarterly payment plan the opportunity to sit in class beyond 3-days of the start, unless a reasonable payment plan is approved by the DOF.						Bi-Weekly
2c.	Collaborate w/ Marketing and Academics in order to devise ways of getting student to complete their repacks.						Quarterly

Objective	Related Corporate Objective	Weight	Goals (Rating Levels)				
			1	2	3	4	5
3. Repacks completed 3 weeks prior to start	3	10%	100.00%	95.00% - 99.99%	90.00% - 94.99%	85.00% - 89.99%	<85.00%
Initiatives							Target Completion Dates
3a.	Three months prior, send letters to students making them aware that it is almost time to come see finance; two months prior to the start, send follow-up letter, make phone calls to set FA appt; one month out run reports to capture anyone outstanding.						Monthly
3b.	Provide student incentive to complete repack before next Quarter start.						Quarterly
3c.							

Objective	Related Corporate Objective	Weight	Goals (Rating Levels)				
			1	2	3	4	5
4. New Start Actives packaged after start.	3	10%	Start + 2 weeks	Start + 4 weeks	Start + 6 weeks	Start + 7 weeks	Start + 8 weeks
Initiatives							Target Completion Dates
4a.	Utilizing the Complete Packing Report and working with the FAA's determine what needs to be accomplished to move student files to completed status. Allot time for FAA's to process files.						Weekly
4b.	Track FAA's progress working with the Reps to have students bring in required documentation.						Weekly
4c.	Work closely with Academics to assist students to complete their Financial aid packaging.						Daily

Objective	Related Corporate Objective	Weight	Goals (Rating Levels)					Target Completion Dates	
			1	2	3	4	5		
5.	% of Refunds Late (include Late Pell Adj)	3	10%	<2.25%	2.25% - 2.99%	3.00% - 3.75%	3.76% - 4.25%	>4.25%	
Initiatives									
5a	Run the Pell Disbursement Weekly Report, 17 Day Consecutive Absence Report, Registered Students < ½ time and part time students, Enrollment Status Report, and Inactive Student's with Prepaid balances.							Daily	
5b	Within 24 hours of receiving a drop notice from either the Registrar or Dean initiate the refund process							Daily	
5c									

Objective	Related Corporate Objective	Weight	Goals (Rating Levels)					Target Completion Dates	
			1	2	3	4	5		
6.	Accepted – FAA Conduct %	3	10%	>75.00%	72.00% – 75.00%	69.00% – 71.99%	66.00% – 68.99%	≤65.99%	
Initiatives									
6a	Collaborate with Marketing on how to overcome the timely scheduling of prospective students to come to FAA conduct.							Weekly	
6b	Make phone calls reminding students of their appointments within 24 hours of their scheduled appointment.							Daily	
6c									

Section VI – Performance Results

Objectives	Mid-Cycle Status -Behind (B) -On Track (O) -Ahead (A)	Year-End Results Achieved				Final Rating*
		Results or Comments	Weight	Rating (1 – 5)	Weighted Rating	
1.	B	Redacted by [REDACTED] has made continuous progress in improving new student packaging.	40%	5	2	3
2.	B	When Redacted by [REDACTED] took over no overdue accounts were being processed for collections. All overdue accounts are now being processed. She works closely with Academics and Recruitment to get students in to Finance for their repacks.	20%	5	1	3
3.	B	Redacted by [REDACTED] has significantly improved the process to complete repacks. She is already at 88% for March 2009.	10%	5	.5	3
4.	B	She tracks new student progress weekly. She has trained her FAA's and tracks their progress working with the Reps on a weekly basis.	10%	5	.5	3
5.	B	Since Redacted by [REDACTED] took over in June there have been 130 refunds and 130 Pell adjustments with only 3 late refunds and no late Pell adjustments for 2.3%, which is a 2 rating.	10%	5	.5	2
6.	B	Redacted by [REDACTED] works with the DOR on a daily basis managing the FAA Conducts. Redacted by [REDACTED] and her FAA's are diligent about scheduling.	10%	5	.5	3
7.			%			
8.			%			
					Total:	2.8
					5.0	
Final Overall Performance Rating (Round to the nearest whole number. Example: 3.49 rounds to "3", 3.5 rounds to "4")						3

*Explanation of any rating adjustment (adjustments require CEO approval):

Redacted by [REDACTED] took over as the Columbia DOF on June 25, 2008 two months after the previous DOF was terminated for failing to abide by the policies and procedures of ITT ESI. Because of this during our first Internal Audit six of the eleven citations were in the Financial Aid Department. As a result, Redacted by [REDACTED] inherited a Finance Department that was completely in disarray. I hired Redacted by [REDACTED] knowing that she had a two week holiday overseas already paid for in advance. During her absence the FAA resigned with no notice. Within three weeks of her return to work a SWAT team was sent to our school. The state of the paperwork was such that the SWAT team could not fix all the problems. Since then Redacted by [REDACTED] has hired and trained her FAA's to be compliant, honest and methodical. Redacted by [REDACTED] had to go back and review every student record, while trying to keep up with her current workload. Her workload included managing the SWAT team during the September start for five weeks while preparing for the ACICS visit and the HQ OR. Redacted by [REDACTED] works long hours and takes great pride in her work.

I do not believe that Redacted by [REDACTED] should suffer as a result of the damage created by her predecessor. Redacted by [REDACTED] has made monumental progress in fixing her department. I do not believe that it is in the best interest of this school or the morale of the FA department to have her PP&E reflective of the prior DOF's mistakes. I believe that in all fairness to Redacted by [REDACTED] she should receive a 3 because of the progress she is making, and to keep her morale as positive for the remainder of 2009 as she is today, and has been since she became my DOF.

Section VII – Summary of Overall Performance

Summarize the employee's performance, discussing strengths and areas for improvement.

Redacted by [REDACTED] was hired from another ITT campus where she was an FAA. Since she took over as the DOF she has worked tirelessly to bring the Financial Aid department into a compliant, functioning department. She coaches and counsels her personnel on a weekly basis. Redacted by [REDACTED] is a team player and knows how to motivate her FAA's to do their best and work closely with the recruitment representatives on a daily basis. Redacted by [REDACTED] is very organized and establishes objectives and initiatives for herself and her FAA's. She is tireless and puts in more hours than any other functional manager in the pursuit of making her department the best in the school.

Redacted by [REDACTED] needs to delegate tasks and responsibilities more quickly to her FAA's. She has trained them well so far, but they need to be brought up to speed in all areas of financial aid faster if she is to keep up with the growth of the school.

Section VIII - Signatures

Immediate supervisor **MUST** sign and obtain next level supervisor's concurrence prior to the final review with the Employee. The signature of the employee does not signify agreement with the evaluation, but only that he/she has read the evaluation.

Process	Date	Employee Signature	Manager Signature	Next Level Signature
Performance Objectives				
Mid-Cycle Status				
Annual Review	1/29/09	Redacted by HELP Committee	Redacted by HELP Committee	

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Section IX – Employee Comments

The Employee is encouraged to express any comments about this review



Section X – Individual Development Plan

A. Competency Development Plan

This Competency Development Plan is a tool designed to assist supervisors and employees in determining where to focus competency development efforts in the Performance Year. Competencies provide a roadmap so employees understand the knowledge, skills and abilities it takes to their jobs well and advance their careers. Competencies allow supervisors and employees to understand not only what gets accomplished, but how it gets accomplished.

INSTRUCTIONS: Supervisor reviews competency list below with employee and checks which competencies require development to meet current job expectations. Supervisor and employee agree upon and document Action Steps for each competency that has been identified for required development.

Competency	Dev. Required	Development Action Steps	Target Completion Date	Completion Date
Customer Focus	<input type="checkbox"/>			
Compliance & Commitment	<input type="checkbox"/>			
Communication Skills	<input type="checkbox"/>			
Planning & Organization	<input type="checkbox"/>			
Teamwork & Collaboration	<input type="checkbox"/>			
Decision-Making	<input type="checkbox"/>			
Specific Technical Competency	<input type="checkbox"/>			
People Management	<input type="checkbox"/>			
Leadership Skills	<input type="checkbox"/>			
Other:	<input type="checkbox"/>			
Other:	<input type="checkbox"/>			

B. Career Objectives

The employee should reflect on his/her professional goals and career interests, then identify objectives for the short-term (2 years or less) and long-term (3 - 5 years).

C. Signatures

IMMEDIATE SUPERVISOR NAME <small>Redacted by HELP Committee</small>	SIGNATURE Redacted by HELP Committee	DATE January 29, 2009
EMPLOYEE NAME <small>Redacted by HELP Committee</small>	SIGNATURE Redacted by HELP Committee	DATE January 29, 2009

COMPETENCY DEFINITIONS

Competency	Description
Customer Service	<ul style="list-style-type: none"> • Anticipates and Identifies customer needs. • Finds ways to increase customer satisfaction. • Takes action to meet or exceed both internal and external customer expectations. • Builds positive rapport with customers. • Follows through on customer inquiries, complaints or requests. • Treats customers with courtesy and sensitivity.
Compliance & Commitment Focus	<ul style="list-style-type: none"> • Behaves in a manner that is ethical and consistent with laws, regulations, and ITT/ESI's standards and policies. • Makes realistic commitments, recognizing the impact to the organization. • Meets commitments to customers. • Builds trust with others by demonstrating consistency between words and actions. • Maintains regular and predictable attendance and punctuality.
Communication Skills (Oral, Written and Listening)	<ul style="list-style-type: none"> • Speaks clearly and can be easily understood. • Tailors the content of speech to the level and experience of the audience. Uses appropriate grammar and choice of words. • Organizes ideas clearly and concisely. • Maintains eye contact when speaking with others. • Summarizes or paraphrases his/her understanding of what others have said to verify understanding and prevent miscommunication. • Asks questions to clarify and verify information. • Delivers presentations that capture the attention of audiences. • Uses personal communication style to generate excitement for topics. • Listens without interrupting.
Planning & Organization	<ul style="list-style-type: none"> • Establishes plans effectively. • Able to develop systems and processes. • Manages the execution of work assigned. • Identifies resources required to meet goals and objectives. • Can orchestrate multiple activities at once to accomplish a goal. • Uses resources effectively and efficiently. • Establishes clear objectives and goals. • Breaks down work into the process steps. • Develops schedules and task/people assignments. • Anticipates and adjusts for problems and roadblocks. • Seeks guidance when goals or priorities are unclear.
Teamwork & Collaboration	<ul style="list-style-type: none"> • Shares information and resources with others to promote positive and collaborative work relationships. • Places team goals ahead of personal goals. • Effective in cross-department or cross-functional communication when appropriate. • Maintains harmonious and effective work relationships. • Seeks input and involvement of those affected by decisions.
Decision-Making	<ul style="list-style-type: none"> • Makes decisions in a timely manner, sometimes with incomplete information and under tight deadlines and pressure; able to make a quick decision. • Makes good decisions based upon a mixture of analysis, wisdom, experience, and judgment; most of his/her solutions and suggestions turn out to be correct and accurate when judged over time. • Sought out by others for advice and solutions.
Specific Technical Competency	<ul style="list-style-type: none"> • Maintains current knowledge of one's field. • Has the functional and technical knowledge and skills to do the job at a high level of accomplishment.
People Management	<ul style="list-style-type: none"> • Establishes appropriate goals and performance standards. • Clearly assigns responsibility for tasks and decisions. • Delegates responsibilities as appropriate. • Sets expectations and monitors delegated activities. • Provides recognition and feedback to employees. • Develops direct reports' skills and encourages growth. • Treats direct reports fairly; doesn't give preferential treatment. • Has candid discussions with direct reports. • Handles performance problems.
Leadership Skills	<ul style="list-style-type: none"> • Exhibits confidence in self and others. • Inspires respect and trust. • Reacts well under pressure. • Motivates others to perform well. • Ensures employees are given relevant tools, training, and support to encourage success. • Accepts responsibility and is accountable for own actions.