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| **UNIVERSITY OF MINNESOTA DULUTH-SCSE**  **Joint Employee Performance Appraisal Form**  **and Rating Factor Guide** | | | | | | | | | | |
| EMPLOYEE: |  | | JOB CODE or TITLE: | |  | EMPLOYEE ID: | | |  | |
| DEPARTMENT: |  | | SUPERVISOR: | |  | SUPERVISOR ID: | | |  | |
| TYPE OF EVALUATION (Circle One):  Probationary Annual  Other:\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | | EMPLOYEE GROUP (Circle One):  Civil Service  Labor Represented  Professional and Administrative | | PERIOD BEING EVALUATED  Last Evaluation Date: Current Date: | | | | | | |
| The Employee Performance Appraisal is a counseling tool for the rating supervisor and the employee to use in assessing and discussing job performance. The focus of the performance appraisal process should be to establish a mutual understanding between the supervisor and the employee on the requirements for effective job performance.  **Please Read These Instructions Prior to Completion**  **Supervisors are encouraged to view the** [**ULearn**](https://humanresources.umn.edu/working-u/ulearn) **module: Preparing for Performance Reviews: Tips for Managers**  **You will evaluate a total of 6 factors, factors number 1 and 2 are required; the remaining 4 factors to be agreed upon by employee and supervisor. Customized factors (if used) can vary between employees. Both supervisor and employee should use the attached rating guide for reference.**  **Process:**   1. Supervisor and employee agree which 4 additional factors and which previous goals to include in appraisal. 2. Optional: either supervisor or employee may handout the [General Input Form](http://policy.umn.edu/sites/policy.umn.edu/files/forms/ba944.pdf) to anyone who may have insight on their performance. Once completed, forms should be given directly to supervisor. 3. Employee completes their portion of the appraisal, including the goals section. 4. Employee forwards completed appraisal to supervisor, and attaches job description from previous year. 5. Supervisor completes Supervisory Comments and Examples. 6. Supervisor sets meeting with College HR to discuss appraisal and set numerical ratings. 7. Supervisor sets evaluation meeting with employee (giving at least 3 workdays notice).   **Evaluation meeting:**   1. Employee and supervisor meet to discuss evaluation, review goals, and discuss initiatives for the upcoming year. 2. Job description is viewed and updated as necessary. 3. Employee and supervisor add additional comments if desired and sign the evaluation. 4. If any improvement is needed, a plan for action and [follow up](https://drive.google.com/file/d/0Bx94yIDteFbIWXR1WHBZT1prXzA/view) is established.   **Post meeting:**  13. Final signed copy is attached to job description (with any necessary corrections) and forwarded to Dean’s office.  14. Employee is given a copy of signed, final evaluation. | | | | | | | | | | |
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| **1. *REQUIRED* - UMD CAMPUS-WIDE** [**STRATEGIC PLAN**](http://www.d.umn.edu/chancellor/planning/plan.html) **GOAL 2:** | | | | | | | | | | |
| Assess inclusiveness and behavior in working with the public, students, and University employees. *Goal #2: Create a positive and inclusive campus climate for all by advancing equity, diversity, and social justice.* | | | | | | | **Self-Appraisal Rating:** | | | |
|  | Superior | | |
| **Self-Appraisal Representative Comments and Examples:** | | | | | | |  | Exceeds Requirements | | |
|  | | | | | | |  | Meets Requirements | | |
|  | Requires Improvement | | |
|  | Unsatisfactory | | |
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| **Supervisory Comments and Examples:** | | | | | | | **Supervisory Rating:** | | | |
|  | | | | | | |  | Superior (5) | | |
|  | Exceeds (4) | | |
|  | Meets (3) | | |
|  | Req. Impr. (2) | | |
|  | Unsatisfactory (1) | | |
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| **2. *REQUIRED* - JOB KNOWLEDGE** | | | |
| Assess understanding of job duties and demonstrate skill level in performing job effectively. | **Self-Appraisal Rating:** | | |
|  | Superior | |
| **Self-Appraisal Representative Comments and Examples:** |  | Exceeds Requirements | |
|  |  | Meets Requirements | |
|  | Requires Improvement | |
|  | Unsatisfactory | |
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| **Supervisory Comments and Examples:** | **Supervisory Rating:** | | |
|  |  | Superior (5) | |
|  | Exceeds (4) | |
|  | Meets (3) | |
|  | Req. Impr. (2) | |
|  | Unsatisfactory (1) | |
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| **3. INTERACTION WITH OTHERS** | | | |
| Assess effectiveness of working relationships (communication with co-workers, cooperation, teamwork and conflict resolution) and with the public (tact, diplomacy, professionalism and cooperativeness). | **Self-Appraisal Rating:** | | |
|  | Superior | |
| **Self-Appraisal Representative Comments and Examples:** |  | Exceeds Requirements | |
|  |  | Meets Requirements | |
|  | Requires Improvement | |
|  | Unsatisfactory | |
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| **Supervisory Comments and Examples:** | **Supervisory Rating:** | | |
|  |  | Superior (5) | |
|  | Exceeds (4) | |
|  | Meets (3) | |
|  | Req. Impr. (2) | |
|  | Unsatisfactory (1) | |
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| **4. RESPONSIBILITY AND EFFECTIVENESS:** | | | |
| Assess accountability for effective job completion (accuracy, timeliness, implementation),  organization, coordination and arrangement of work for effective completion. | **Self-Appraisal Rating:** | | |
|  | Superior | |
| **Self-Appraisal Representative Comments and Examples:** |  | Exceeds Requirements | |
|  |  | Meets Requirements | |
|  | Requires Improvement | |
|  | Unsatisfactory | |
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| **Supervisory Comments and Examples:** | **Supervisory Rating:** | | |
|  |  | Superior (5) | |
|  | Exceeds (4) | |
|  | Meets (3) | |
|  | Req. Impr. (2) | |
|  | Unsatisfactory (1) | |
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| **5. ACCEPTANCE OF SUPERVISION AND ORGANIZATIONAL PROCEDURES:** | | | |
| Assess knowledge and observance of work directions/instructions, procedures, work rules and  University policies. | **Self-Appraisal Rating:** | | |
|  | Superior | |
| **Self-Appraisal Representative Comments and Examples:** |  | Exceeds Requirements | |
|  |  | Meets Requirements | |
|  | Requires Improvement | |
|  | Unsatisfactory | |
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| **Supervisory Comments and Examples:** | **Supervisory Rating:** | | |
|  |  | Superior (5) | |
|  | Exceeds (4) | |
|  | Meets (3) | |
|  | Req. Impr. (2) | |
|  | Unsatisfactory (1) | |
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| **6. JUDGMENT AND COMPREHENSION:** | | | |
| Assess understanding and resolution of work problems, decision-making ability, initiative and  ability to apply common sense when needed.  Assess understanding and resolution of work problems, decision-making ability, initiative and  ability to apply common sense when needed. | **Self-Appraisal Rating:** | | |
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|  | Superior | |
| **Self-Appraisal Representative Comments and Examples:** |  | Exceeds Requirements | |
|  |  | Meets Requirements | |
|  | Requires Improvement | |
|  | Unsatisfactory | |
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| **Supervisory Comments and Examples:** | **Supervisory Rating:** | | |
|  |  | Superior (5) | |
|  | Exceeds (4) | |
|  | Meets (3) | |
|  | Req. Impr. (2) | |
|  | Unsatisfactory (1) | |
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| **7. SAFETY AND SECURITY:** | | | |
| Assess effectiveness of safety behavior and observance of safety rules. | **Self-Appraisal Rating:** | | |
|  | Superior | |
| **Self-Appraisal Representative Comments and Examples:** |  | Exceeds Requirements | |
|  |  | Meets Requirements | |
|  | Requires Improvement | |
|  | Unsatisfactory | |
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| **Supervisory Comments and Examples:** | **Supervisory Rating:** | | |
|  |  | Superior (5) | |
|  | Exceeds (4) | |
|  | Meets (3) | |
|  | Req. Impr. (2) | |
|  | Unsatisfactory (1) | |
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| **8. *OPTIONAL* – Customized performance factor** | | | |
| *Customizable performance factor* | **Self-Appraisal Rating:** | | |
|  | Superior | |
| **Self-Appraisal Representative Comments and Examples:** |  | Exceeds Requirements | |
|  |  | Meets Requirements | |
|  | Requires Improvement | |
|  | Unsatisfactory | |
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| **Supervisory Comments and Examples:** | **Supervisory Rating:** | | |
|  |  | Superior(5) | |
|  | Exceeds (4) | |
|  | Meets (3) | |
|  | Req. Impr. (2) | |
|  | Unsatisfactory (1) | |
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| **9. *OPTIONAL* – Customized performance factor** | | | |
| *Customizable performance factor* | **Self-Appraisal Rating:** | | |
|  | Superior | |
| **Self-Appraisal Representative Comments and Examples:** |  | Exceeds Requirements | |
|  |  | Meets Requirements | |
|  | Requires Improvement | |
|  | Unsatisfactory | |
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| **Supervisory Comments and Examples:** | **Supervisory Rating:** | | |
|  |  | Superior (5) | |
|  | Exceeds (4) | |
|  | Meets (3) | |
|  | Req. Impr. (2) | |
|  | Unsatisfactory (1) | |
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| **Goals from previous evaluation (choose the two most relevant)** | | |
| Goal | Status (met, in progress, other) | Future plans |
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| **Goals-Employee identified** | | |
| Goal | Supervisory support needed | Measurement of success |
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| **Goals-both Employee and Supervisor identified** | | |
| Goal | Supervisory support needed | Measurement of success |
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| **SUPERVISOR – GENERAL COMMENTS**  (attach additional sheets as necessary) |
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| **Calculated Average (for CS and P&A ONLY-do not calculate for Labor Represented)** |
| **Total combined score/number of factors evaluated** = \_\_\_\_\_\_\_ |

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| **EMPLOYEE’S COMMENTS**  (attach additional sheets as necessary)  *This rating constitutes your supervisor’s evaluation of your job performance during the rating period. Your signature below only certifies you have received an appraisal and had the opportunity to discuss your rating with your supervisor, it does not indicate agreement. Please respond to this performance review by indicating agreement or disagreement with any of the statements on this document and why you feel that way, including examples of accomplishments if pertinent. Also provide any information you feel is important in understanding your current performance.* | | | |
|  | | | |
| Employee’s Signature: |  | Date: |  |
| Supervisor’s Signature: |  | Date: |  |
| Dept. Head Signature: |  | Date: |  |
| Dean/Vice Chancellor  Signature: |  | Date: |  |
| Copies to: Employee  Supervisor  Original to: Human Resources & Equal Opportunity Dept., 255 Darland Administration Bldg. | | | |

EMPLOYEE PERFORMANCE APPRAISAL – RATING FACTOR GUIDE

1. **UMD Campus Goal 2:** *Assess inclusiveness and behavior in working with the public, students, and University employees.*

*Required*

**Superior:** Models best practices and outstandingly demonstrates inclusiveness and sensitivity to the campus

(5) community, participates in diversity-related events, and intervenes when they witness inappropriate behavior.

**Exceeds Requirements:** Demonstrates an acceptance for all and their differences, participates in diversity related events.

(4)

**Meets Requirements:** Effectively interacts with UMD’s diverse campus community.

(3)

**Requires Improvement:** Usually behaves acceptably but shows some behavior of rejection of equity, diversity, and social

(2) justice.

**Unsatisfactory:** Resists including certain groups of people, tells inappropriate jokes, insensitive towards the

(1) campus’s diverse community.

2. **Job Knowledge:** *Assess understanding of job duties and demonstrated skill level in performing job effectively.*

*Required*

**Superior:** Has thorough knowledge of this and other related jobs. Maintains and increases knowledge.

(5)

**Exceeds Requirements:** Well informed on all phases of this job. Rarely requires guidance.

(4)

**Meets Requirements:** Has a good working knowledge of this job and demonstrates it.

(3)

**Requires Improvement:** Fair knowledge but needs more training. Must be assigned only routine duties.

(2)

**Unsatisfactory:** Has an unsatisfactory or rudimentary knowledge of this job.

(1)

3. **Interaction with Others:** *Assess effectiveness of working relationships (communication with co-workers, cooperativeness,*

*teamwork and conflict resolution) and with the public (tact, diplomacy, professionalism and*

*cooperativeness).*

**Superior:** Extremely cooperative and willing to work with and for others toward best interest of all concerned.

(5) Builds teamwork and relationships well. Fosters collaboration within the department/college.

Exceptionally courteous and well-mannered. Communicates effectively at all employee levels.

**Exceeds Requirements:** Considerate of others and always willing to help. Does own share and often more.

(4) Tactful and obliging; good self-control.

**Meets Requirements:** Does own share of job but usually no more than required. Usually courteous, effective relations.

(3)

**Requires Improvement:** Often disagreeable in cooperating with co-workers and fails to get along with others.

(2) Occasionally has difficulties in dealing with the public.

**Unsatisfactory:** Avoids doing own share of job whenever possible. Uncooperative.

(1) Tends to create problems in outside contacts.

4. **Responsibility and Effectiveness:** *Assess accountability for effective job completion (accuracy, timeliness, implementation),*

*organization, coordination and arrangement of work for effective completion.*

**Superior:** Maintains highest quality standards. Work done properly the first time. Usually high output, efficient

(5) and well-organized. Improved job methods and production.

**Exceeds Requirements:** Uniformly accurate and thorough. Always turns out good work. Is conscientious, flexible and able

(4) to adjust priorities. Always turns out a good volume and more work than most.

**Meets Requirements:** Meets accepted standards regularly. Needs very little checking. Careful, effective planner.

(3 Steady producer. Handles normal load.

**Requires Improvement:** Usually acceptable but must be checked occasionally. Seems to lack concern about quality.

(2) Fair work load; should be increased.

**Unsatisfactory:** Below standards. Needs constant checking. Disorganized and usually unprepared.

(1) Unsatisfactory volume. Requires monitoring to produce standard quantity.

5. **Acceptance of Supervision and Organizational Procedures:** *Assess observance of work directions, instructions,*

*procedures, work rules and University policies.*

**Superior:** Extremely cooperative and willing to work with and for others towards the best interests of all (5) concerned. Open to constructive comments and/or directions from supervisor.

**Exceeds Requirements:** Demonstrates an acceptance of the overall purpose of the work unit.

(4)

**Meets Requirements:** Accepts work directives and adherence to departmental and University rules and policies.

(3)

**Requires Improvement:** Sometimes agreeable, occasionally is not willing to follow orders without grumbling, or is lax in (2) adherence to rules and policies.

**Unsatisfactory:** Refuses to perform tasks which are felt to be unnecessary or inappropriate; often is in conflict with (1) rules and policies.

6. **Judgment and Comprehension:** *Assess understanding and resolution of work problems, decision-making ability, initiative*

*and ability to apply common sense when needed*.

**Superior:** Makes sound decisions, shows ingenuity; makes suggestions to improve performance.

(5) Requests additional information only on most complex orders.

A self-starter who has high standards, is thorough, generates work and takes on additional

responsibilities.

**Exceeds Requirements:** Readily understands most orders. Resourceful. Frequently has new ideas. Makes reliable (4) investigation prior to sound conclusions. Requires very little direction or supervision.

**Meets Requirements:** Able to learn most new tasks. Comes up with new ideas now and then. Tends to be logical in (3) approach to problems. Reasonably alert to opportunities. Acts independently in activities that are

typical job functions.

**Requires Improvement:** Occasionally requests simple instructions to be repeated. Learns new tasks slowly. Routine (2) worker. Needs help more than seems necessary.

**Unsatisfactory:** Shows no desire to learn new tasks. Waits for others to furnish the ideas. Often misunderstand or (1) bungle directions. Resists assignments and requires constant supervision or direction.

7. **Safety and Security:** *Assess effectiveness of safety behavior and observance of safety rules.*

**Superior:** Practices safety and goes out of way to promote safety.

(5)

**Exceeds Requirements:** Pays extra attention to safety in work area.

(4)

**Meets Requirements:** Generally follows safe work practices.

(3)

**Requires Improvement:** Places personal well-being in jeopardy by unsafe work habits.

(2)

**Unsatisfactory:** Work habits occasionally jeopardize the well-being of others.

(1)

8-9 ***Optional* - May customize performance factors.**