

**UNIVERSITY OF MINNESOTA DULUTH  
Joint Employee Performance Appraisal Form**

EMPLOYEE:		CLASSIFICATION:	
DEPARTMENT:		RATER:	
TYPE OF EVALUATION:	PROBATIONARY	ANNUAL	OTHER
			EVALUATION 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.

**Process for the Employee Performance Appraisal Process:**

1. Both employee and supervisor review the current job description for accuracy and make changes as needed. The supervisor determines which factors will be rated (a minimum of 6) and they jointly develop any additional performance factors to be considered, based on the job description or specific duty assignments, and add them to the evaluation form.
2. The employee prepares the Self-Evaluation sections, using the Rating Factor Guide to rate his/her performance on the agreed-upon factors. Where useful or relevant, provide representative examples to support the rating. When complete the form is provided to the supervisor.
3. The supervisor then prepares the Employee Performance Appraisal sections, rating each performance factor as "Superior," "Exceeds Requirements," "Competent," "Requires Improvement," or "Unsatisfactory."
  - a. A Rating Factor Guide is attached to each form to help raters in giving an accurate assessment of performance.
  - b. Written comments are required for any factor rated less than "Competent," and noteworthy performance in any particular factor(s) should receive comment.
  - c. Rate a minimum of six (6) performance factors by checking the appropriate rating block. If a factor does not apply to the work requirements of this position, check the "Factor Not Applicable" box.
  - d. Complete the "Employee Service Rating" section by considering the factor ratings given in the counseling session and assessing the overall effectiveness of the employee's job performance during the rating period.
4. The employee and supervisor conduct the performance interview, enter the required signatures and send signed form(s) with the current job description to Human Resources.
5. If any areas for improvement are identified during the appraisal, within 3-6 months the supervisor will complete the Follow-Up Form and employee and supervisor will meet to review the progress and next steps.

**PERFORMANCE FACTORS**

1. Cooperation with Co-workers: Assess effectiveness of working relationships (communications, cooperativeness, teamwork).	<b>Self-Appraisal Rating:</b>	
	<input type="checkbox"/>	Superior
<b>Self-Appraisal Representative Examples:</b>	<input type="checkbox"/>	Exceeds Requirements
	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
Factor Not Applicable:		<input type="checkbox"/>

<b>Supervisory Comments:</b>	<b>Supervisory Rating:</b>	
	<input type="checkbox"/>	Superior
	<input type="checkbox"/>	Exceeds Requirements
	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
Factor Not Applicable:		<input type="checkbox"/>

2. Public Contact: Assess effectiveness in working with the public (tact, cooperativeness).	<b>Self-Appraisal Rating:</b>	
	<input type="checkbox"/>	Superior
<b>Self-Appraisal Representative Examples:</b>	<input type="checkbox"/>	Exceeds Requirements
	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
Factor Not Applicable:		<input type="checkbox"/>

<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
3. Job Knowledge: Assess understanding of job and demonstrate skill level to do job effectively.		<b>Self-Appraisal Rating:</b>	
<b>Self-Appraisal Representative Examples:</b>		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
4. Responsibility: Assess accountability assumed for effective job completion (accuracy, timeliness, implementation).		<b>Self-Appraisal Rating:</b>	
<b>Self-Appraisal Representative Examples:</b>		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
5. Organization: Assess coordination and arrangement of work for effective completion.		<b>Self-Appraisal Rating:</b>	
<b>Self-Appraisal Representative Examples:</b>		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>

<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
6. Attendance: Assess work attendance record (use of leave time, reporting and leaving work).		<b>Self-Appraisal Rating:</b>	
<b>Self-Appraisal Representative Examples:</b>		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
7. Acceptance of Supervision and Organizational Procedures: Assess observance of work directions/instructions, procedures, work rules and Univ. policies.		<b>Self-Appraisal Rating:</b>	
<b>Self-Appraisal Representative Examples:</b>		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
8. Judgment and Comprehension: Assess understanding and resolution of work problems and decisions (practical, common sense).		<b>Self-Appraisal Rating:</b>	
<b>Self-Appraisal Representative Examples:</b>		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>

<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
9. Work Habits: Assess effectiveness of work behavior (attention to work requirements, proper use of equipment).		<b>Self-Appraisal Rating:</b>	
<b>Self-Appraisal Representative Examples:</b>		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
10. Safety: Assess effectiveness of safety behavior and observance of safety rules.		<b>Self-Appraisal Rating:</b>	
<b>Self-Appraisal Representative Examples:</b>		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>
11.		<b>Self-Appraisal Rating:</b>	
<b>Self-Appraisal Representative Examples:</b>		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable:	<input type="checkbox"/>

<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable: <input type="checkbox"/>	
12.		<b>Self-Appraisal Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable: <input type="checkbox"/>	
<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable: <input type="checkbox"/>	
<i>Complete the following factors for bona fide supervisory personnel, as provided for by M.S. 179A, Public Employment Labor Relations Act, who have the delegated authority to hire, fire, assign duties, counsel, rate performance, discipline, and adjust grievances of subordinate employees.</i>			
13. Supervision: Assess effectiveness of direction, coordination, discipline and leadership of staff.		<b>Self-Appraisal Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable: <input type="checkbox"/>	
<b>Supervisory Comments:</b>		<b>Supervisory Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable: <input type="checkbox"/>	
14. EEO/Affirmative Action: Assess implementation of EEO/Affirmative Action, harassment & discrimination policies.		<b>Self-Appraisal Rating:</b>	
		<input type="checkbox"/>	Superior
		<input type="checkbox"/>	Exceeds Requirements
		<input type="checkbox"/>	Competent
		<input type="checkbox"/>	Requires Improvement
		<input type="checkbox"/>	Unsatisfactory
		Factor Not Applicable: <input type="checkbox"/>	

<b>Supervisory Comments:</b>	<b>Supervisory Rating:</b>	
	<input type="checkbox"/>	Superior
	<input type="checkbox"/>	Exceeds Requirements
	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
	Factor Not Applicable: <input type="checkbox"/>	

**EMPLOYEE - ASSESSMENT OF OVERALL STRENGTHS AND ACCOMPLISHMENTS**  
(attach additional sheets as necessary)

**EMPLOYEE - IDENTIFICATION OF CHALLENGES FROM PAST YEAR AND PERFORMANCE / DEVELOPMENT GOALS TO ADDRESS THEM**  
(attach additional sheets as necessary)

**SUPERVISOR - OVERALL EMPLOYEE SERVICE RATING** (check the appropriate performance rating below)

<input type="checkbox"/>	<b>SUPERIOR:</b> Performance of job requirements noticeably exceed established expectations and standards for quality, quantity and timeliness; outcomes are <b>well above</b> fully competent performance; performs more than asked, explores improved methods of accomplishing tasks; small room for improvement.
<input type="checkbox"/>	<b>EXCEEDS REQUIREMENTS:</b> Performance of job requirements exceeds established expectations or requirements for quality, quantity and timeliness; while performance at this level can still be improved, an employee at this level exceeds the performance expected of a fully capable employee in most aspects of job performance.
<input type="checkbox"/>	<b>COMPETENT:</b> Performance of job requirements achieves acceptable and standard results expected by the department. Periodic incidents of outstanding or problem work performance are typical in the class of work performed.
<input type="checkbox"/>	<b>REQUIRES IMPROVEMENT:</b> Performance of some job requirements is unacceptable and does not achieve results expected by the department. Incidents of problem work performance are not typical in the class of work performed and improvement is required.
<input type="checkbox"/>	<b>UNSATISFACTORY:</b> Performance of job requirements is consistently unacceptable. Counseling and training has not resulted in improved work performance.

**SUPERVISOR - COMMENTS AND IDENTIFICATION OF PERFORMANCE GOALS**

(attach additional sheets as necessary)

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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 certifies only you have received an appraisal and had the opportunity to discuss your rating with your supervisor. 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. Also provide any information you feel is important in understanding your current performance.*

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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 Dept., 255 Darland Administration Bldg.

## EMPLOYEE PERFORMANCE APPRAISAL – RATING FACTOR GUIDE

1. Cooperation with Co-Workers: Assess effectiveness of working relationships (communications, cooperativeness, teamwork).  
Superior: Extremely cooperative and willing to work with and for others toward best interest of all concerned.  
Exceeds Requirements: Always willing to help. Does own share and often more. Considerate  
Competent: Does own share of job but usually no more than required. Usually courteous.  
Requires Improvement: Often disagreeable in cooperating with co-workers and fails to get along with others.  
Unsatisfactory: Avoids doing own share of job whenever possible. Uncooperative.
2. Public Contact: Assess effectiveness in working with the public (tact, cooperativeness).  
Superior: Exceptionally courteous and well-mannered.  
Exceeds Requirements: Tactful and obliging; good self-control.  
Competent: Usually maintains courteous, effective relations.  
Requires Improvement: Occasionally has difficulties in dealing with the public.  
Unsatisfactory: Tends to create problems in outside contacts.
3. Job Knowledge: Assess understanding of job and demonstrated skill level to do job effectively.  
Superior: Has thorough knowledge of this and other related jobs. Maintains and increases knowledge.  
Exceeds Requirements: Well informed on all phases of this job. Rarely requires guidance.  
Competent: Has a good working knowledge of this job and demonstrates it.  
Requires Improvement: Fair knowledge but needs more training. Must be assigned only routine duties.  
Unsatisfactory: Has an unsatisfactory knowledge of this job. Knows only rudimentary phases.
4. Responsibility: Assess accountability assumed for effective job completion (accuracy, timeliness, implementation).  
Superior: Maintains highest quality standards. Work done properly the first time.  
Exceeds Requirements: Uniformly accurate and thorough. Always turns out good work. Is flexible and able to adjust priorities.  
Competent: Meets accepted standards regularly. Needs very little checking. Careful, effective planner.  
Requires Improvement: Usually acceptable but must be checked occasionally. Seems to lack concern about quality.  
Unsatisfactory: Below standards. Needs constant checking. Disorganized and usually unprepared.
5. Organization: Assess coordination and arrangement of work for effective completion.  
Superior: Usually high output. Improved job methods and production.  
Exceeds Requirements: Always turns out a good volume and more work than most.  
Competent: Steady producer. Handles normal load.  
Requires Improvement: Fair amount. Should be increased.  
Unsatisfactory: Unsatisfactory volume. Requires monitoring to produce standard quantity.
6. Attendance: Assess work attendance record (use of leave time, reporting and leaving work).  
Superior: Never late or absent without good excuse. Puts every effort into job. Always gets job done on time.  
Exceeds Requirements: Occasionally early and usually prepared to work at prescribed time. Rarely absent. Works hard and steadily on assigned tasks and does extra work.  
Competent: Attendance record satisfactory. Generally on time. Works well without prodding.  
Requires Improvement: Attendance record not good. Needs additional supervision.  
Unsatisfactory: Seldom on time. Absent often.
7. 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 concerned.  
Exceeds Requirements: Demonstrates an acceptance of the overall purpose of the work unit.  
Competent: Accepts work directives and adherence to departmental and University rules and policies.  
Requires Improvement: Sometimes agreeable, occasionally is not willing to follow orders without grumbling, or is lax in adherence to rules and policies.  
Unsatisfactory: Refuses to perform tasks which are felt to be unnecessary or inappropriate; often is in conflict with rules and policies.
8. Judgment and Comprehension: Assess understanding and resolution of work problems and decisions (practical, common sense).

Superior:	Shows ingenuity; makes suggestions as to better ways of performance. Requests additional information only on most complex orders.
Exceeds Requirements:	Readily understands most orders. Resourceful. Frequently has new ideas. Makes reliable investigation prior to sound conclusions.
Competent:	Able to learn most new tasks. Comes up with new ideas now and then. Tends to be logical in approach to problems. Reasonably alert to opportunities.
Requires Improvement:	Occasionally requests simple instructions to be repeated. Learns new tasks slowly. Routine worker.
Unsatisfactory:	Shows no desire to learn new tasks. Waits for others to furnish the ideas. Often misunderstand or bungle directions.

9. Work Habits: Assess effectiveness of work behavior (attention to work requirements, proper use of equipment).

Superior:	A self starter who generates work and takes on additional responsibilities.
Exceeds Requirements:	Requires very little direction or supervision.
Competent:	Acts independently in activities that are usual to work.
Requires Improvement:	Needs help more than seems necessary.
Unsatisfactory:	Resists assignments and requires constant supervision or direction.

10. Safety: Assess effectiveness of safety behavior and observance of safety rules.

Superior:	Practices safety and goes out of way to promote safety.
Exceeds Requirements:	Pays extra attention to safety in work area.
Competent:	Generally follows safe work practices.
Requires Improvement:	Places personal well-being in jeopardy by unsafe work habits.
Unsatisfactory:	Work habits occasionally jeopardize the well-being of others.

11. Supervision: Assess effectiveness of direction, coordination, discipline and leadership of department staff.

Superior:	Has outstanding relationships with subordinates and motivates employees to a high level of performance.
Exceeds Requirements:	Satisfactory relationships with subordinates, has good morale, results more than expected.
Competent:	Generally effective relationships with subordinates.
Requires Improvement:	Usually effective relationships with subordinates but must improve; control of work force is inconsistent.

12. EEO/Affirmative Action: Assess implementation of the University's EEO/Affirmative Action, harassment and discrimination policies.

Superior:	Evidence of leadership in implementing ongoing positive Affirmative Action program of employment and development for minorities and others subject to discrimination.
Exceeds Requirements:	Interviews candidates with no instances of violations of federal laws; promotes work environment free of discriminatory practices.
Competent:	Effectively maintains and communicates policies governing discrimination and harassment.
Requires Improvement:	Lacks concern for policies governing discrimination and harassment; occasionally has difficulties in implementing policies.
Unsatisfactory:	Lax in adherence to University policies and practices; tends to create problems which contradict University policy.