

**UNIVERSITY OF MINNESOTA DULUTH  
Self-Evaluation Form**

EMPLOYEE:

CLASSIFICATION:

DEPARTMENT:

DATE:

The Self-Evaluation Form is provided as a 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 Completion of the Self-Evaluation Form and Employee Performance Appraisal Process:**

1. Both employee and supervisor review the current job description for accuracy, making changes as needed. Determine which factors will be rated (a minimum of 6). 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 Form, 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. Present form to the supervisor.
3. The supervisor then prepares the Employee Performance Appraisal form using the same factors and the Rating Factor Guide.
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

**SELF APPRAISAL**

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

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

<b>3. Job Knowledge:</b> Assess understanding of job and demonstrate skill level to do job effectively.	<input type="checkbox"/>	Superior
Representative Example(s):	<input type="checkbox"/>	Exceeds Requirements
 	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
	<input type="checkbox"/>	Factor Not Applicable:

<b>4. Responsibility:</b> Assess accountability assumed for effective job completion (accuracy, timeliness, implementation).	<input type="checkbox"/>	Superior
Representative Example(s):	<input type="checkbox"/>	Exceeds Requirements
 	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
	<input type="checkbox"/>	Factor Not Applicable:

<b>5. Organization:</b> Assess coordination and arrangement of work for effective completion.	<input type="checkbox"/>	Superior
Representative Example(s):	<input type="checkbox"/>	Exceeds Requirements
 	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
	<input type="checkbox"/>	Factor Not Applicable:

6. Attendance: Assess work attendance record (use of leave time, reporting and leaving work).	<input type="checkbox"/>	Superior
	<input type="checkbox"/>	Exceeds Requirements
Representative Example(s):	<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.	<input type="checkbox"/>	Superior
	<input type="checkbox"/>	Exceeds Requirements
Representative Example(s):	<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).	<input type="checkbox"/>	Superior
	<input type="checkbox"/>	Exceeds Requirements
Representative Example(s):	<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).	<input type="checkbox"/>	Superior
	<input type="checkbox"/>	Exceeds Requirements
Representative Example(s):	<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.	<input type="checkbox"/>	Superior
	<input type="checkbox"/>	Exceeds Requirements
Representative Example(s):	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
	Factor Not Applicable: <input type="checkbox"/>	
11.	<input type="checkbox"/>	Superior
	<input type="checkbox"/>	Exceeds Requirements
Representative Example(s):	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
	Factor Not Applicable: <input type="checkbox"/>	
12.	<input type="checkbox"/>	Superior
	<input type="checkbox"/>	Exceeds Requirements
Representative Example(s):	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
	Factor Not Applicable: <input type="checkbox"/>	

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.

13. Supervision: Assess effectiveness of direction, coordination, discipline and leadership of staff.	<input type="checkbox"/>	Superior
Representative Example(s):	<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.	<input type="checkbox"/>	Superior
Representative Example(s):	<input type="checkbox"/>	Exceeds Requirements
	<input type="checkbox"/>	Competent
	<input type="checkbox"/>	Requires Improvement
	<input type="checkbox"/>	Unsatisfactory
Factor Not Applicable:		<input type="checkbox"/>

**ASSESSMENT OF OVERALL STRENGTHS AND ACCOMPLISHMENTS**

(attach additional sheets as necessary)

**IDENTIFICATION OF CHALLENGES FROM PAST YEAR AND PERFORMANCE / DEVELOPMENT GOALS TO ADDRESS THEM**

(attach additional sheets as necessary)

Employee's Signature:		Date:	
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## 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.