

Route this form to:	U Wide Form
This form is for departmental use.	UM 941
	Rev: 06/08

Performance Appraisal

Use this form two, three or four times per year to clarify performance expectations, set challenging goals, rate how well the employee performed, and develop an action plan for job or career development. At the end of the year, use the Administrative Summary (UM 942) to convert the two to four performance ratings into an average rating for the year. That average rating may be used for salary actions or other administrative purposes. See additional instructions on the pages 5 and 6.

***** Complete all pages before signing the front of this form. *****

Employee Name (Last, First, MI)		
Dept ID	Entity	College/ Administrative Unit
Job Code	Classification Title	
<input type="checkbox"/> Probationary Appraisal <input type="checkbox"/> Performance Appraisal	Dates Covered	From: _____ To: _____

The rater should forward this performance appraisal to the dean, director or department head for review and signature before discussing the rating with the employee. Appraisals are not final until all signatures have been obtained.

Rater's Comments:	
Rater's Signature	Date
Rater's Name (printed)	Phone
Title	
Campus Address	

The dean, director or department head should take this opportunity to identify and resolve problems, such as performance standards or ratings that may be too lenient or too strict. These ratings will contribute to the employee's annual rating (Form UM 942).

Dean, Director or Department Head's Comments:	
Dean, Director or Department Head's Signature	Date
Dean, Director or Department Head's Name (printed)	Phone
Title	
Campus Address	

The employee's signature means only that the employee has had an opportunity to review and comment on this appraisal.

Employee's Comments:	
Employee's Signature	Date

SECTION I: Performance Standards (Beginning of Review Period)

1. Responsibility		% of job
Monitor by		
Expectation – Performance is completely acceptable when....	Excellence – Performance is excellent when...	

2. Responsibility		% of job
Monitor by		
Expectation – Performance is completely acceptable when....	Excellence – Performance is excellent when...	

3. Responsibility		% of job
Monitor by		
Expectation – Performance is completely acceptable when....	Excellence – Performance is excellent when...	

4. Responsibility		% of job
Monitor by		
Expectation – Performance is completely acceptable when....	Excellence – Performance is excellent when...	

5. Responsibility		% of job
Monitor by		
Expectation – Performance is completely acceptable when....	Excellence – Performance is excellent when...	

SECTION II: Rating Performance (End of Review Period)

1. Responsibility	% of job	Not Satisfactory	Marginal	Achieved Expectations	More than Expected	Much more than expected	Achieved Excellence	Exceptional Achvmnt.
		%	%	%	%	%	%	%

2. Responsibility	% of job	Not Satisfactory	Marginal	Achieved Expectations	More than Expected	Much more than expected	Achieved Excellence	Exceptional Achvmnt.
		%	%	%	%	%	%	%

3. Responsibility	% of job	Not Satisfactory	Marginal	Achieved Expectations	More than Expected	Much more than expected	Achieved Excellence	Exceptional Achvmnt.
		%	%	%	%	%	%	%

4. Responsibility	% of job	Not Satisfactory	Marginal	Achieved Expectations	More than Expected	Much more than expected	Achieved Excellence	Exceptional Achvmnt.
		%	%	%	%	%	%	%

5. Responsibility	% of job	Not Satisfactory	Marginal	Achieved Expectations	More than Expected	Much more than expected	Achieved Excellence	Exceptional Achvmnt.
		%	%	%	%	%	%	%

SECTION III: General Behaviors (optional)

Problem Solving: Describe positive and/or problem behaviors (e.g., considers effects of decision; suggests ways to increase efficiency; identifies problems and practical solutions; does not distinguish between important and unimportant problems).

Initiative: Describe positive and/or problem behaviors (e.g., makes appropriate decisions about when to act independently and when to consult with others; follows through on tasks without reminders; refers everything to supervisor whether or not its necessary; makes unauthorized decisions).

Planning/Organizational Skills: Describe positive and/or problem behaviors (e.g., schedules work effectively; makes appropriate use of available resources; does not cope with interruptions effectively).

Interpersonal Skills (Clients/Coworkers): Describe positive and/or problem behaviors (e.g., obtains/provides appropriate information; adapts to changing demands from others; offers to help coworkers when own workload permits; complains about procedures and policies without offering suggestions for improvements; exhibits uncooperative or rude behaviors).

Attendance/Punctuality: Describe positive and/or problem behaviors (e.g., meets supervisor’s requirements; arrives late but leaves on time; does not notify supervisor of absence in advance).

Orderliness: Describe positive and/or problem behaviors (e.g., equipment and supplies are stored appropriately at the end of the day; work area is appropriately presentable to the public; work area is messy and dirty).

COMPLETE ADMINISTRATIVE STEPS BEFORE INTERVIEW (see instructions)

Discuss the ratings in Section II and Section III (if appropriate)

Action Plans

For achieving expectations (consider timetables, workshops, setting interim goals, etc.)

For achieving excellence (optional)

For career development (optional)

Review/revise performance standards for the next appraisal period (see Section I).

This page will not be placed in the employee’s central file.

INSTRUCTIONS

SECTION I: Performance Standards

Use at the **BEGINNING** of a review period to list the performance standards for each job's responsibilities.

- **Responsibility:** Write the name of the responsibility beginning with an action verb (e.g., "Provide supplies").
- **How Monitored:** Indicate how you intend to monitor performance (observation, surveys, a report, etc.).
- **Percent of Job:** Indicate the responsibility's importance as a percent of the job. (If you have a "miscellaneous" category, or if a responsibility has distinct parts, you may split the percentage among the parts.)
- **Standards:** Describe the level of quantity, quality, and timeliness you expect and the level you consider excellent performance. Use the definitions below as a guide. (If you need more room, attach a list to Section I.)
 - *Expectation:* Performance would be completely acceptable if this level of quality, quantity, and timeliness were achieved, **and no more.**
 - *Excellence:* A much higher level of performance, which most employees would find difficult but possible to achieve.

SECTION II: Rating Performance

Use at the **END** of a review period to rate how well the employee performed compared to the standards in Section I.

- **Collect Information:** For example, Employee Input Form (BA 943), surveys, records, etc.
- **Read Performance Standards:** This reminds you what aspects of performance you intend to rate.
- **Describe Performance:** Describe the quality, quantity, and timeliness of the work the employee produced. Note unexpected problems that were beyond the employee's control and how these were handled. Consider reviewing the description with the employee before making a rating. Use **BLACK INK** or **TYPE**.
- **Choose a Rating:** Compare your description of the employee's performance to the standards in Section I. Choose the rating that best summarizes how well those standards were achieved.
 - "*Achieved Expectation*" means the employee did all that was described in the Expectations standard.
 - "*More than Expected*" means performance was more like the Expectations standard than the standard for Excellence.
 - "*Much More than Expected*" means performance was more like the standard for Excellence.
 - "*Achieved Excellence*" means the employee did all that was described in the standard for Excellence in addition to what was expected.
 - "*Exceptional Achievement*" means performance was innovative, extremely difficult to achieve, or otherwise better than described in the standard for Excellence.
- **Enter Percent of Job.** Write the responsibility's importance as a percent of the job under the rating you picked.

1. Type Reports (70 % of job)

(In this example, the description of performance matches the Expectation Standard)

Not Satisfactory	Marginal	Achieved Expectation	More than Expected	Much more than expected	Achieved Excellence	Exceptional Achvmt.
%	%	70 %	%	%	%	%

= 70%
of job

If you have a "miscellaneous" category, or if you split the responsibility's percent importance among its parts, rate each part separately. The ratings for the parts may fall in the same or different rating categories. For example,

2. Miscellaneous (30 % of job)

- Schedule meetings (20% of job)
- Send Mailings (10% of job)

Not Satisfactory	Marginal	Achieved Expectation	More than Expected	Much more than expected	Achieved Excellence	Exceptional Achvmt.
%	%	20 %	10 %	%	%	%

= 30%
of job

- **Summarize the ratings.** Add up the percentages listed under each rating category and write totals in the summary rating box. This shows the total percentage of the job that was performed at each level. For example,

SUMMARY

Not Satisfactory	Marginal	Achieved Expectation	More than Expected	Much more than expected	Achieved Excellence	Exceptional Achvmt.
%	%	90 %	10 %	%	%	%

= 100%
of job

SECTION III: General Behaviors (Optional)

Use this section for three purposes:

- **To identify general behaviors that should be capitalized upon when planning for career development.**
Consider ways to take better advantage of the employee's strengths in the current job, and focus on these strengths when designing an action plan for career development.
- **To identify general behaviors that may be an obstacle to career development.**
Consider ways to help the employee obtain the necessary training or experience to overcome these obstacles.
- **To identify general behaviors that are creating difficulties in the current job.**
Revise the performance standards in Section I to summarize your expectations. For example, if the employee has not been helping co-workers when time permitted, and this is creating a problem, revise the Expectation Standards for the appropriate responsibilities to indicate when and how the employee is expected to help co-workers.

Administrative Steps Before Interview

- **Sign** the front of the performance appraisal form.
- **Forward** to the dean, director, or department head for review and signature BEFORE discussing the ratings with the employee. This allows for the possibility that some revision may be necessary before the review.

SECTION IV: Interview and Action Plan

- **Discuss the ratings and summary** in Section II with the employee. Also discuss Section III, if appropriate.
- **Develop action plans** by discussing ways to help the employee improve performance, develop on the job, and/or plan for career development. Summarize the resulting action plans (if any) in the spaces provided.
- **Set performance standards for the next appraisal period** by reviewing the standards in Section I and revising them as necessary; you may also revise each responsibility's importance as a percentage of the job.

If you make changes, photocopy Section I of this form, write your minor revisions on the copy, and attach it to Section I of the form you will use next time. If you make substantial changes, you may wish to start over on a new form.

Administrative Steps After Interview

- **Employee signs** on the front of the performance appraisal form. The employee's signature only means that the employee had an opportunity to review and comment on the ratings.
- **Give the employee a copy.** This will enable an employee to refer back to the ratings and action plans.
- **Place in department file for now.** You will need Section II of the form again at the end of the year to complete the Administrative Summary.

REFERENCE MATERIALS:

- Performance Appraisal Form (BA 941)
- Administrative Summary Form (BA 942)
- Employee Input Form (BA 943)
- General Input Form (BA 944)
- Guidelines for Writing a Job Description
- Guidelines for Writing Performance Standards
- Guidelines for Rating Performance