



# **SOUTHERN UNIVERSITY BATON ROUGE**

## **Unclassified and Classified Performance Appraisal Policy and Procedures**

### **PURPOSE**

The annual performance appraisal provides a means to discuss, to plan and to review the performance of each non-faculty employee.

Regular performance appraisals:

- Help staff employees clearly define and understand their responsibilities.
- Provide criteria by which staff employees' performance will be evaluated.
- Suggest ways in which staff employees can improve performance.
- Help supervisors plan, distribute and achieve departmental goals.
- Provide a fair basis for awarding compensation based on merit.

### **POLICY STATEMENT**

It is the Southern University-Baton Rouge's policy to provide a performance evaluation process with an annual assessment of classified employees and non-faculty professional employees.

This policy establishes the process for: (1) setting performance goals and objectives as well as career development goals; (2) monitoring employee progress, providing constructive feedback and evaluating performance; and (3) aligning performance plans with the Southern University-Baton Rouge's department and units' strategic plan to the extent practical.

### **EVALUATION CYCLE**

Unclassified full-time (12 month) and part-time employees:	July 1 through June 30 <sup>th</sup>
Classified Civil Service employees (12 month):	July 1 through June 30 <sup>th</sup>

## **PROCEDURES FOR UNCLASSIFIED EMPLOYEES**

### **I. ROLES AND RESPONSIBILITIES**

#### **Performance Appraisals**

##### **A. Employee**

- Assists supervisor to develop performance goals and revise them as necessary during the performance year;
- Has clear understanding of supervisor's expectations and requests clarification if necessary;
- Manages performance to achieve performance goals and brings to supervisor's attention circumstances that may affect their achievement;
- Seeks performance feedback from supervisor and internal and external customers;
- Participates fully in performance discussions; and
- Addresses aspects of performance identified as needing improvement.

##### **B. Supervisor**

- Seeks input from employees regarding their performance and goals;
- Communicates and documents each employee's performance plan;
- Monitors employee performance during the performance year and communicate with employee on an ongoing basis about performance;
- Conduct at least (1) interim evaluation for each employee between the initial annual planning session and the end of the performance year;
- Addresses instances of poor performance or other significant performance issues in a timely manner;
- If appropriate, seeks feedback concerning employee performance from internal and external sources, including customers, team members, coworkers, suppliers, or others as appropriate;
- Assists employees whose performance has been identified as needing improvement in one or more aspects to make the necessary improvement;
- Prepares annual performance evaluations, ensuring that all significant performance issues are documented;
- Meets with employees to discuss their ratings and development needs and;
- Recognize employees who demonstrate high-quality performance.

## II. PERFORMANCE PLANNING

Performance plans for the new performance year will be developed within thirty (30) days of the beginning of the performance year.

- A. Using employee position descriptions for reference, supervisors will determine the core responsibilities for each job. Related job tasks or functions may be combined or grouped to result in approximately five core responsibilities.
- B. Supervisors will work with each employee to jointly develop performance expectations for each core responsibility. Performance plans for employees with similar position descriptions and core responsibilities should reflect similar performance objectives. These objectives or expectations should reflect:
  - The desired level of performance, and
  - Qualitative measures, when appropriate.

Performance objectives are assigned a percentage that reflects the weight of each objective for the performance cycle. The total weight of the objectives equals 100%. Performance plans will also establish specific goals for the new performance year.

- C. Supervisors will meet privately with each employee to discuss and give the employee a copy of his or her performance plan.
- D. After the supervisor meets with the employee, the completed performance plans are submitted to the appropriate management reviewer for approval.
- E. The Performance Plan document is affixed as **(Attachment A)**
- F. The Goal Setting and Professional Development Plan is affixed as **(Attachment A-1)** and **(Attachment A-2)**

## III. DURING THE PERFORMANCE YEAR

### A. Documenting Performance

Supervisors should frequently document each employee's performance during the performance year.

1. Supervisors can document performance by making notes in a Supervisor's file. At the end of the performance year, these performance notes should be used to develop the performance evaluation.
  - a. Supervisors' files should be maintained in a confidential manner. Employees who are the subject of these records may have access to the information.
  - b. Information in the supervisor's file must be retained in accordance with the provisions Louisiana Public Records Act and destroyed in a timely manner. All employees are responsible for following the Southern University-Baton Rouge's records management policies and procedures, including appropriate approvals for destroying records.
2. Supervisors will complete a minimum of one (1) interim performance review during the performance year. The supervisor will meet with the employee to review and discuss the interim review. The Interim Performance Evaluation Form (**Attachment B**) will be used for this purpose.
  - a. Interim Evaluations are considered performance notes, rather than part of an employee's official personnel file and, therefore, they are intended for informational use only to be used when completing the annual performance evaluation. Interim Evaluations are maintained in the supervisor's file. The employee shall be given a copy of the interim performance evaluation.
  - b. See Section IV B. below for a discussion of the use of interim evaluations for employees who have received a Needs Improvement.
3. Incidents of Exceptional or Superior performance or behavior should be documented in the form of a memorandum to the employee. This memorandum may be in the form of an email, provided that it is referenced as "Documentation of Superior Performance."
  - a. A copy of the memorandum should be maintained in the supervisor's file for use when developing the performance evaluation.
  - b. The Supervisor's Manager and Human Resources also should receive a copy of the memorandum.

4. Unsatisfactory performance or behavior should be promptly addressed by supervisors.
  - a. Supervisors will meet privately with employees to encourage them to correct their performance or behavior. If the unacceptable performance or behavior is not corrected promptly, the supervisor will use a Notice of Substandard Performance Form (**Attachment C**) to document the matter.
  - b. The employee and reviewer will each receive a copy of the form. The supervisor also should keep a copy in his or her supervisor's file for use when developing the performance evaluation.

**NOTE:** Supervisors also can address incidents of unacceptable performance or behavior through the disciplinary process as appropriate.

## **B. Changes During the Performance Year**

### **1. Changes to the Job**

If unexpected circumstances during a performance year significantly alter the Core Responsibilities, the performance plan should be modified. Changes during the performance year should be noted in the appropriate place on the Performance Planning Form and initialed by all parties.

If an employee moves to a different position during the performance year, the employee's supervisor should complete an Interim Performance Evaluation and forward a copy to the employee's new supervisor to provide information that will assist with the preparation of the annual performance evaluation, provided, that this does not apply where an employee moves to the new position prior to or within thirty (30) days of the performance plan for that year having been completed.

## **IV. PERFORMANCE EVALUATION**

### **A. Completing Performance Evaluations**

1. The annual performance evaluation should reflect performance during the entire performance year.

2. Supervisors should review all documentation from the performance year including notes, Interim Evaluation Forms and any memoranda or other documentation related to employee's performance or behavior, when completing annual performance evaluations.
3. Employees will be given an opportunity to complete a self-assessment of his or her job performance during the performance year for their supervisor to consider, along with other documentation, when completing the annual performance evaluation. Employees must provide their self-assessment **(Affixed as Attachment D-1)** to the supervisor two (2) weeks prior to the evaluation meeting.
4. Performance evaluations completed by supervisors should be reviewed and approved by reviewers before they are discussed with employees.
  - a. The review process is intended to ensure that this policy is applied appropriately and consistently. The Supervisor's Manager may consult with the supervisor to clarify any questions about the evaluation. **(Attachment D)**
  - b. The Supervisor's Manager has final authority regarding the performance evaluation.
5. Supervisors should allow employees an opportunity to review their performance evaluation prior to meeting with them to discuss their performance evaluation. At this private meeting, employees also may be asked to provide information to their supervisors regarding the upcoming performance year.

**B. Needs Improvement**

1. Supervisors should meet with the employee who receive a Needs Improvement to construct an action plan outlining steps that the employee and supervisor will take to support improved performance.
  - a. The supervisor may use either an Interim Performance Evaluation Form or a Notice of Improvement Needed/Substandard Performance Form to establish a plan for this purpose.
  - b. Plans for improvement should include guidance from the supervisor, training or re-training.

- c. The supervisor should meet periodically with the employee over the course of the next performance year to assess progress and shall use Interim Performance Evaluations to document the employee's progress.

**C. Unacceptable Performers**

1. Employees who receive an overall performance rating of Unacceptable must have their performance re-evaluated within three (3) months after their unacceptable evaluation. Failure to improve performance to a satisfactory level may result in termination.
2. Within ten (10) business days of the unacceptable evaluation, the supervisor must develop a performance improvement plan (Plan) and meet with the employee.
  - a. The Performance Planning and Evaluation Form should be used for this purpose.
  - b. The Plan should include performance objectives that can reasonably be met within the three (3) month period and also may include appropriate opportunities for employee development.
3. The employee should be re-evaluated approximately two (2) weeks before the end of the three (3) month period. **(Attachment D-2)**
  - a. Re-evaluations are considered official forms and are retained along with the original performance evaluation in the employee's personnel file.
  - b. The employee shall receive a copy of the Re-evaluation form.
4. If the employee receives a rating of Needs Improvement or higher,
  - the employee will continue in his or her position and
  - the supervisor will prepare a Performance Plan for the new performance year.
5. Employees who do not meet the objectives of the performance improvement plan and are rated as an Unacceptable Performer typically will be terminated at the end of the three (3) month re-evaluation period. In unusual cases,

Southern University-Baton Rouge may exercise its discretion to demote or transfer an employee to another position rather than terminate the employee.

**NOTE:** The re-evaluation process does not prevent the supervisor from taking disciplinary action based on the employee's poor performance or unsatisfactory behavior as outlined in the disciplinary process.

## V. **APPEALING PERFORMANCE EVALUATIONS**

An employee who disagrees with his or her performance evaluation should discuss the issue with his or her supervisor and, within ten (10) business days of having received the evaluation may request that the evaluation be re-considered. The supervisor may decline to reconsider the evaluation, or may reconsider it and either affirm or revise the original evaluation. The action must be taken within ten (10) business days of the employee's request for reconsideration.

If the issue cannot be resolved with the supervisor, the employee may, within ten (10) business days of receiving the supervisor's response, file a written appeal to Human Resources.

The Human Resources will discuss the appeal with the employee and the supervisor. Within ten (10) business days of receiving the appeal, Human Resources must respond in writing to the employee. The response should indicate one of the following results:

- Human Resources agrees with the supervisor's appraisal of the employee's performance; or
- the supervisor will revise the evaluation or complete a new evaluation;

The Human Resources' decision is final with regard to the performance evaluation; however, employees alleging policy violations have access to the Southern University-Baton Rouge's grievance procedure.

### **Consideration of Leave in Performance Decisions**

If an employee has taken Workers' Compensation, Military, Family and Medical Leave, Short-term Disability and Long-term Disability leave over the course of the evaluation period, this cannot be used against the employee during the evaluation process.



### **The Next Performance Year**

Supervisors should develop performance plans for the upcoming performance year as described in the Performance Planning section of this policy within thirty (30) days of the beginning of the new performance year.

**CLASSIFIED**  
**CIVIL SERVICE EMPLOYEE**  
**PERFORMANCE APPRAISAL AND EVALUATION**  
**Policy and Procedures**

**Procedures for Classified Employees**

**I. Performance Plan and Performance Planning Session**

- (a) The Evaluating Supervisor shall prepare a performance plan at the beginning of each evaluation period (July 1 – June 30). The performance plan shall list work tasks and behavior standards on which the employee's overall performance will be evaluated. These shall be recorded on the planning and evaluation form. **(Attachment E)**
- (b) The Evaluating Supervisor shall obtain the Second Level Evaluator's signature approval of the performance planning and evaluation form prior to presenting it to the employee for final signature.
- (c) After obtaining the Second Level Evaluator's signature approval of the performance plan, the Evaluating Supervisor will conduct a performance planning session with the employee.
- (d) During the planning session, the Evaluating Supervisor shall present the performance planning and evaluation form to the employee and discuss the performance work tasks and behavior standards on which he will be evaluated and the performance that will be expected of him during the coming evaluation period.
- (e) The Evaluating Supervisor and the employee shall sign and date the performance planning and evaluation form to document the planning session. The employee shall be given a copy of the form. Should the employee decline to sign the performance planning and evaluation form, the Evaluating Supervisor shall note this on the form and record the date that the planning session occurred. An employee cannot prevent the planning session from becoming official by refusing to sign the form.

**II. Official Performance Evaluations and Evaluation Sessions**

- (a) Official performance evaluations are required for all classified employees except those serving as classified WAE employees. The Evaluating Supervisor shall base the official evaluation of the employee's performance on the work tasks and behavior

standards as stated on the performance planning and evaluation form.

**(Attachment E)**

- (b) Official evaluations shall be made after the performance year has ended and must be rendered no later than August 31st. All official overall evaluations will be recorded with an effective date of July 1st.
- (c) Evaluations become official on the date they are rendered. No evaluations shall be rendered after August 31st. To render an official evaluation, the Evaluating Supervisor shall:
- complete a performance evaluation form after June 30th of the evaluation year,
  - provide documentation to support an evaluation of “Needs Improvement/Unsuccessful” or “Exceptional,”
  - obtain the Second Level Evaluator’s signed approval of the evaluation form prior to discussion with the employee,
  - discuss the evaluation with the employee, after which the Evaluating Supervisor and the employee shall sign and date the evaluation form to document the evaluation session,
  - give the employee a copy of the evaluation form with his official overall evaluation noted.
- (d) When an employee is not available, the provisions of this rule shall be satisfied when notification to the employee is made by mail. If the employee is notified by mail, the notification shall be deemed timely if it was mailed to the employee’s most recent address on or before August 31st, as evidenced by official proof of mailing. The agency must maintain documentation that the employee was notified on or before August 31st.
- (e) Should the employee decline to sign the performance evaluation form, the Evaluating Supervisor shall note this on the form and record the date that the evaluation session occurred. An employee cannot prevent the evaluation from becoming official by refusing to sign the form.
- (f) Evaluations of "Unrated" shall be indicated on the final overall performance evaluation form by the Evaluating Supervisor, Second Level Evaluator, or Human Resources officer. An employee shall be notified when he/she has been assigned an official overall evaluation of “Unrated.”

<b>Attachment</b>	<b>A</b>	<b>Performance Planning Form</b>
<b>Attachment</b>	<b>A-1</b>	<b>Goal Setting and Professional Development Plan</b>
<b>Attachment</b>	<b>A-2</b>	<b>Professional Development Plan</b>
<b>Attachment</b>	<b>B</b>	<b>Performance: Appraisal: Interim Evaluation</b>
<b>Attachment</b>	<b>C</b>	<b>Notice of Improvement Needed/Unacceptable Performance</b>
<b>Attachment</b>	<b>D</b>	<b>Employee Evaluation Form for Unclassified Staff</b>
<b>Attachment</b>	<b>D-1</b>	<b>Self-Review Worksheet</b>
<b>Attachment</b>	<b>D-2</b>	<b>Performance Improvement Plan: Follow-up</b>
<b>Attachment</b>	<b>E</b>	<b>Classified Civil Service Employee Performance Appraisal and Evaluation Form</b>



## SOUTHERN UNIVERSITY BATON ROUGE Performance Planning Form

Evaluation Period: \_\_\_\_\_

Employee Name: \_\_\_\_\_

Department: \_\_\_\_\_

Title: \_\_\_\_\_ Date of Hire: \_\_\_\_\_

### Part 1: Conduct a Performance Planning meeting. This discussion should occur:

- the day of or within one month of the Annual Review, or
- within one month of the end date of a Performance Improvement Plan (if applicable), or
- for new employees, it should occur within one month of date of hire.

### Part 2: The following should be accomplished during the Performance Planning discussion:

Review position description and clarify expectations around specific job related tasks and duties.

Set measurable goals aligned with Southern University-Baton Rouge core values and unit/college values where applicable.

Complete an employee development plan, outlining skill building actions for the year.

Discuss performance and behavior necessary to meet expectations for the review period; include a review of the four performance levels.

Discuss type of support needed from supervisor.

**Part 3: Plan a date to do at least one mid-cycle check-in to review progress related to the established goals and development plan. General feedback should occur throughout the year.**

Signature below indicate that the meeting was held with employee.

Employee's Signature: \_\_\_\_\_

Date Discussed: \_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_

Date Discussed: \_\_\_\_\_

**Supervisors:** Please remember that a critical component of the Performance Excellence program is to provide ongoing performance feedback, coaching and development opportunities throughout the performance period. These conversations should occur regularly during the year.



## SOUTHERN UNIVERSITY BATON ROUGE Goal Setting and Professional Development Plan

Evaluation Period: \_\_\_\_\_

Employee Name: \_\_\_\_\_

Department: \_\_\_\_\_

Title: \_\_\_\_\_ Date of Hire: \_\_\_\_\_

### I. Goal Setting

1. Goal: \_\_\_\_\_

Steps to achieve: \_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

2. Goal: \_\_\_\_\_

Steps to achieve: \_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

3. Goal: \_\_\_\_\_

Steps to achieve: \_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

4. Goal: \_\_\_\_\_

Steps to achieve: \_\_\_\_\_

\_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

5. Goal: \_\_\_\_\_

Steps to achieve: \_\_\_\_\_

\_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

6. Goal: \_\_\_\_\_

Steps to achieve: \_\_\_\_\_

\_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

Signature below indicate that the meeting was held with employee.

Employee's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_





## SOUTHERN UNIVERSITY BATON ROUGE Professional Development Plan

Evaluation Period: \_\_\_\_\_

Employee Name: \_\_\_\_\_

Department: \_\_\_\_\_

Title: \_\_\_\_\_ Date of Hire: \_\_\_\_\_

### I. Professional Development Plan

1. Skill or Competency: \_\_\_\_\_

Activities: \_\_\_\_\_

Resources Needed: \_\_\_\_\_

Outcome Expected: \_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

2. Skill or Competency: \_\_\_\_\_

Activities: \_\_\_\_\_

Resources Needed: \_\_\_\_\_

Outcome Expected: \_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

3. Skill or Competency: \_\_\_\_\_

Activities: \_\_\_\_\_

Resources Needed: \_\_\_\_\_

Outcome Expected: \_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

4. Skill or Competency: \_\_\_\_\_

Activities: \_\_\_\_\_

Resources Needed: \_\_\_\_\_

Outcome Expected: \_\_\_\_\_

Due Date: \_\_\_\_\_ Completion Date: \_\_\_\_\_

Signature below indicate that the meeting was held with employee.

Employee's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_



## SOUTHERN UNIVERSITY BATON ROUGE Performance: Appraisal: Interim Evaluation

Evaluation Period: \_\_\_\_\_

Employee Name: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Department: \_\_\_\_\_

Title: \_\_\_\_\_ Date of Hire: \_\_\_\_\_

To be completed by the immediate supervisor. Copies will be retained by the employee being reviewed and his/her supervisor. **Original is returned to the Human Resource Department.**

### I. PERFORMANCE REVIEW

#### RATING INSTRUCTIONS

1. = **UNACCEPTABLE** – Consistently fails to meet job requirements.  
Requires immediate improvement plan to maintain employment.
2. = **Needs Improvement**- Occasionally fails to meet job requirements.  
May require improvement plan of some job requirements to maintain employment.
3. = **Meets Expectations**- Performs all job duties satisfactorily.
4. = **Exceeds Expectations**- Performs above required duties.
5. = **Superior**- Performs consistently beyond the job requirements.

**II. PERFORMANCE FACTOR and DESCRIPTION**

1. Customer Service – The extent to which the employee provides prompt, high-quality service to members, staff, vendors and internal/external customers.

Unacceptable..... Superior  
 1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_

2. Communication – Creates effective working relationships by information sharing.

Unacceptable..... Superior  
 1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_

3. Teamwork – Concensus building and using active \_\_\_\_.

Unacceptable..... Superior  
 1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_

4. Achievement – Ability and willingness to achieve organizational and individual goals by seizing opportunities and learning from experience.

Unacceptable..... Superior  
 1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_

- 5. Flexibility/Innovation – Initiates new ideas, exhibits creative thinking and grasps new concepts.

Unacceptable ..... Superior  
 1  2  3  4  5

Comments: \_\_\_\_\_  
\_\_\_\_\_

- 6. Technical Excellence – Apply and develop technical and role specific skills and organizational knowledge.

Unacceptable ..... Superior  
 1  2  3  4  5

Comments: \_\_\_\_\_  
\_\_\_\_\_

**SECTION 2 – OVERALL PERFORMANCE RATING**

Varying degrees of importance should be placed on those factors measuring performance in a given job. The overall performance rating represents a composite of your opinion, judgement and impressions of this person’s performance.

**SECTION 3 – KEY DEVELOPMENT AREAS**

Identify 2 – 3 key developmental areas the employee should focus on over the next year. Develop a plan to provide formal or informal training in these areas.

**SECTION 4 – EMPLOYEE COMMENTS**

**SECTION 5 – APPROVALS/CONCURRENCES**

**Employee Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_

(This report has been discussed with me. I understand that my signature does not necessarily indicate agreement; I can make my disagreement, if any, known by a written communication to my immediate supervisor, with a copy to the Human Resource Department.)

Reviewer \_\_\_\_\_ Date: \_\_\_\_\_

Department Head \_\_\_\_\_ Date: \_\_\_\_\_

Human Resources \_\_\_\_\_ Date: \_\_\_\_\_



## SOUTHERN UNIVERSITY BATON ROUGE

### Notice of Improvement Needed/Unacceptable Performance

Evaluation Period: \_\_\_\_\_

Employee Name: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Department: \_\_\_\_\_

Title: \_\_\_\_\_ Date of Hire: \_\_\_\_\_

This form documents that you must make immediate improvement in the performance of your duties. Continued poor performance as described below may result in an overall "Unacceptable Performance" rating on the annual performance evaluation conducted in this performance cycle.

#### **PART I. DESCRIPTION OF SPECIFIC PERFORMANCE DEFICIENCIES AND IMPROVEMENTS**

##### **NEEDED:**

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Part II. IMPROVEMENT PLAN:**

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signatures below indicate that the meeting was held with employee.

Supervisor's Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Reviewer's Comments: \_\_\_\_\_ Date: \_\_\_\_\_

Reviewer's Signature: \_\_\_\_\_

Employee's Comments: \_\_\_\_\_ Date: \_\_\_\_\_

Employee's Signature: \_\_\_\_\_

NOTE: An employee who receives at least one Improvement Needed form during the performance cycle may receive an overall "Below Contributor" rating on the performance evaluation conducted in the same performance cycle. Receipt of one or more of these forms does not automatically warrant a "Below Contributor" rating.





**SOUTHERN UNIVERSITY BATON ROUGE**  
**Employee Evaluation Form for**  
**Unclassified Staff**

Evaluation Period: \_\_\_\_\_

**Employee Name:** \_\_\_\_\_

**Title:** \_\_\_\_\_

**Department:** \_\_\_\_\_

**PART I. INSTRUCTIONS TO EVALUATOR**

Evaluators must complete all of the performance, behavioral, and leadership factors listed. The overall performance factor must also reflect the employee's performance as it relates to the job description, and responsibilities/duties. Comments are encouraged. All points should be tabulated and recorded on the final scoring page. Both the evaluator and evaluatee should sign acknowledging the final scores for the evaluation period.

**RATING INSTRUCTIONS**

- 1. = Unacceptable** - Consistently fails to meet job requirements. Requires immediate improvement plan to maintain employment.
- 2. = Needs Improvement** - Occasionally fails to meet job requirements. May require improvement plan of some job requirements to maintain employment.
- 3. = Meets Expectations** - Performs all job duties satisfactorily.
- 4. = Exceeds Expectations** – Performs above required duties.
- 5. = Superior** – Performs consistently beyond the job requirements.

**PART II - PERFORMANCE FACTORS**

1. Knowledge, Skills, Abilities - Consider the degree to which the employee exhibits the required level of Job knowledge and/or skills to perform the job; use of established techniques, materials, and equipment as they relate to performance.

Unacceptable ..... Superior

1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Quality of Work - Does employee complete assignments and meet quality standards? Consider accuracy, neatness, thoroughness and adherence to standards and safety rules.

Unacceptable ..... Superior

1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Quantity of Work - Consider the results of the employee's efforts. Does the employee demonstrate the ability to manage several responsibilities simultaneously; perform work in a productive and timely manner; meet work schedules?

Unacceptable ..... Superior

1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Work Habits - To what extent does employee display a positive, cooperative attitude toward work assignments and requirements? Consider compliance with established work rules and organizational policies.

Unacceptable .....Superior

1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Communication - Consider Job related effectiveness in dealing with others. Does the employee express ideas clearly both orally and in writing, listen well and respond appropriately?

Unacceptable .....Superior

1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PART III - BEHAVIORAL TRAITS**

1. Dependability – Consider the amount of time spent directing the employee. Does the employee monitor projects and exercise follow-through; adhere to time frame; is on time for meetings and appointments; and, responds appropriately to instructions and procedures?

Unacceptable .....Superior

1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Cooperation – How well does the employee work with co-workers and supervisors as a contributing team member? Does the employee demonstrate consideration of others; maintain rapport with others; help others willingly?

Unacceptable ..... Superior

1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Initiative - Consider how well the employee seeks and assumes greater responsibility; volunteers for special projects; performs task well with little supervision; does not wait to be directed.

Unacceptable ..... Superior

1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Adaptability - Consider the ease with which the employee adjusts to any change in duties, procedures, supervisors or work environment. How well does the employee accept new ideas and approaches to work, respond appropriately to constructive criticism and to suggestions for work improvement?

Unacceptable ..... Superior

1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Judgment - Consider how well the employee effectively analyzes problems, determines appropriate action for solutions, and exhibits timely and decisive action; thinks logically.

Unacceptable ..... Superior

1  2  3  4  5

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**PART IV - LEADERSHIP/SUPERVISORY FACTORS**

1. Leadership- Consider how well the employee demonstrates effective leadership abilities; gains respect and cooperation; inspires and motivates others; directs work group toward common goal.

Unacceptable ..... Superior

1  2  3  4  5

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

2. Delegation - How well does the employee demonstrate the ability to direct others in accomplishing work; effectively selects and motivates others; defines assignments; oversees the work of others?

Unacceptable ..... Superior

1  2  3  4  5

Comments: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

- 3. Planning and Organizing - Consider how well the employee plans and organizes work; coordinates with others, and establishes appropriate priorities; anticipates future needs; carries out assignments effectively.

Unacceptable ..... Superior  
 1    2    3    4    5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- 4. Administration - How well does the employee perform day-to-day administrative tasks; manage time; administer policies and implement procedures; maintain appropriate contact with supervisor; and, utilize funds, staff or equipment?

Unacceptable ..... Superior  
 1    2    3    4    5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- 5. Personnel Management - Consider how well the employee serves as a role model; provides guidance and opportunities to their staff for their development and advancement; resolves work-related employee problems; assists others in accomplishing their work-related objectives. Does the employee communicate well with others in a clear, concise, accurate, and timely manner and make useful suggestions?

Unacceptable ..... Superior  
 1    2    3    4    5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PART VI - OVERALL PERFORMANCE**

1. Please use this space to describe the overall performance rating. The overall rating should be a reflection of the performance factors, behavioral traits and leadership/ supervisory factors, as well as the job duties and staff evaluations (if applicable.)

Unacceptable .....Superior  
1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. Attendance - Consider number of absences, use of personal (vacation) and sick leave in accordance with University policy.

Unacceptable .....Superior  
1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. Punctuality - Consider work arrival and departure within accordance with departmental and University policy. Punctuality should be coded as follows: Ranges 1-2 (Unsatisfactory); Ranges 3-5 (Satisfactory)

Unacceptable .....Superior  
 1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

4. Outcomes/Productivity- Employee has delivered/exemplified tangible outcomes in respective areas. These outcomes are high quality work products which are aligned to goals and objectives of the respective unit. Outcomes should be coded as follows: Ranges 1-2 (Unsatisfactory); Ranges 3-5 (Satisfactory)

Unacceptable ..... Superior  
1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. Team Player- Employee is a team player and exudes a POSITIVE attitude that reflects a spirit of cooperation in advancing the goals and objectives of the Southern University System. Team player ratings should be coded as follows: Ranges 1-2 (Unsatisfactory); Ranges 3-5 (Satisfactory)

Unacceptable..... Superior  
1  2  3  4  5

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



**PART VI - PERFORMANCE SCORING SHEET**

<b>Performance Factors</b>	<b>Behavioral Traits</b>	<b>Leadership Ability</b>	<b>Work Ethic</b>
Knowledge, Skills & Abilities	Dependability	Leadership	Performance
Quality of work	Cooperation	Delegation	Attendance
Quantity of Work	Initiative	Planning & Organization	Punctuality
Work Habits	Adaptability	Administration	Outcomes
Communication	Judgment	Personnel Management	Team Player
/25 Section Score	/25 Section Score	/25 Section Score	/25 Section Score

**Overall Performance Score** \_\_\_\_\_ **/100**

**FINAL RATING SCORE SCALE**

90-100	EXCEEDS EXPECTATIONS
65-89	MEETS EXPECTATIONS
BELOW 65	NEEDS IMPROVEMENT

**Additional Notes/Feedback:**

**PART VII – EMPLOYEE ACKNOWLEDGEMENT**

I have been advised of my performance ratings. I have discussed the contents of this review with my supervisor. My signature does not necessarily imply agreement. My comments are as follows (comments are optional-attach additional sheets if necessary):

**Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**Employee** \_\_\_\_\_ **Date** \_\_\_\_\_

**Supervisor/Evaluator** \_\_\_\_\_ **Date** \_\_\_\_\_

**Department Head/Director/** \_\_\_\_\_ **Date** \_\_\_\_\_

**Vice Chancellor** \_\_\_\_\_ **Date** \_\_\_\_\_

**APPENDIX 1: OUTLINE UP TO FOUR MAJOR RESPONSIBILITIES AND PERSONAL DEVELOPMENT GOALS FOR THE UPCOMING FISCAL YEAR**

**MAJOR RESPONSIBILITIES/SPECIAL ASSIGNMENTS**

**PERSONAL/PROFESSIONAL DEVELOPMENT GOALS**



## SOUTHERN UNIVERSITY BATON ROUGE Self-Review Worksheet

Evaluation Period: \_\_\_\_\_

Employee Name: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Department: \_\_\_\_\_

Date of Hire: \_\_\_\_\_

As part of the Performance Excellence Program, you and your supervisor will engage in an annual Performance Review discussion. Prior to this meeting, your supervisor may ask you to complete this self-review worksheet or you may choose to do so in order to better prepare for the discussion. The purpose of this documentation is to facilitate two-way discussion between you and your supervisor.

1. List your key tasks and duties during the past year.

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

2. List any special accomplishments you achieved during the last year.

Comments: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

3. List goals you completed from the previous year. (Or refer to your Goal Setting & Development Plan.)

**Comments:** \_\_\_\_\_  
\_\_\_\_\_

4. List any training or other learning opportunities you completed during the year. (Or refer to your Goal Setting & Development Plan.)

**Comments:** \_\_\_\_\_  
\_\_\_\_\_

5. List any obstacles you encountered in accomplishing your job responsibilities during the review period.

**Comments:** \_\_\_\_\_  
\_\_\_\_\_

6. What can your supervisor do to better assist you in your position or in accomplishing your goals?

**Comments:** \_\_\_\_\_  
\_\_\_\_\_

Employee Signature: \_\_\_\_\_ Date: \_\_\_\_\_

(This report has been discussed with me. I understand that my signature does not necessarily indicate agreement; I can make my disagreement, if any, known by a written communication to my immediate supervisor, with a copy to the Human Resource Department.)

Reviewer \_\_\_\_\_ Date: \_\_\_\_\_

Department Head \_\_\_\_\_ Date: \_\_\_\_\_

Human Resources \_\_\_\_\_ Date: \_\_\_\_\_



## SOUTHERN UNIVERSITY BATON ROUGE Performance Improvement Plan: Follow-up

Evaluation Period: \_\_\_\_\_

Employee Name: \_\_\_\_\_

Supervisor: \_\_\_\_\_

Department: \_\_\_\_\_

Date of Hire: \_\_\_\_\_

30 day check-in date: \_\_\_\_\_

60 day check-in date: \_\_\_\_\_

90-day check-in date: \_\_\_\_\_



Employee has achieved the required improvement

Describe: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



Employee has not achieved the required improvement  
(Supervisor: Contact Human Resources prior to review meeting.)

Describe: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Signatures below indicate that the meeting was held with employee.

Employee's Signature: \_\_\_\_\_ Date Discussed: \_\_\_\_\_

Supervisor's Signature: \_\_\_\_\_ Date Discussed: \_\_\_\_\_

NOTE: When the PIP Follow-up form is completed at 90 days, provide a copy of signed documents to the employee and retain a copy of the documents in the department. Supervisor or unit designee. Scan and email to Human Resources weblink.